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Instructions to Federal Agencies for
Equal Employment Opportunity Management Directive 715
(EEO MD-715)

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Introduction

Instructions to Federal Agencies for EEO MD-715

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Introduction

Purpose of Instructions

These Instructions represent the EEOC's guidance and standards to federal agencies for establishing and maintaining effective affirmative programs of equal employment opportunity. These Instructions clarify guidance published in Part C of EEO MD-715, provide federal agencies with additional operational instructions on how to accomplish the requirements of the management directive, and emphasize what federal agencies should do to ensure that personnel actions are made free of any discrimination.

The Instructions are organized as follows:

- **Section I: The Model EEO Program**
- **Section II: Barrier Identification and Elimination**
- **Section III: Reporting Requirements and Line-by-line Instructions**
- **EEOC Form 715-01**
- **Workforce Data Tables**

Section I: The Model EEO Program

Section I focuses on EEO MD-715's definition of the "Essential Elements" for structuring a model EEO program. Attainment of a model EEO program at an agency will provide the infrastructure necessary for the agency to achieve the ultimate goal of a discrimination free work environment, characterized by an atmosphere of inclusion and free and open competition for employment opportunities.

The six elements identified as necessary for a model EEO program are:

- Demonstrated commitment from agency leadership;
- Integration of EEO into the agency's strategic mission;
- Management and program accountability;

- Proactive prevention of unlawful discrimination;
- Efficiency; and
- Responsiveness and legal compliance.

Section I details how to achieve each of these elements by fully integrating access, inclusion and equality of opportunity into all aspects of the mission of the agency, and aligning equal opportunity principles with strategic agency plans and objectives.

To usefully measure these integration efforts, agencies will conduct periodic self-assessments of their EEO programs against the six essential elements. EEOC has developed a self-assessment checklist to aid in the self-assessment process. The checklist provides a comprehensive listing of specific management documents and operating systems required to ensure that an agency's overall EEO program is properly established. It is expected that the checklist will serve as an early assessment tool for agencies, helping to increase accountability for any necessary corrective measures. Specific instructions on how to complete the checklist are included in Section I. EEOC is available to provide technical assistance and support in all these efforts.

Finally, Section I requires agencies to certify that their EEO programs are in compliance with the six essential elements or that areas in need of improvement will be addressed in plans they develop. These plans will be monitored by EEOC.

Section II: Barrier Identification and Elimination

Section II of these Instructions contains operational guidance on how to identify barriers which tend to inhibit free and open workplace competition, and how to develop a meaningful plan to eliminate those barriers.

In order to develop a competitive, highly qualified workforce, federal agencies must fully utilize all workers' talents, without regard to race, color, religion, national origin, sex, disability, or reprisal for prior EEO activity.¹² This goal cannot be accomplished when barriers to equal employment opportunity persist in an agency's management/personnel policies, procedures or practices.

As Section II of these Instructions explains, the barrier analysis process requires much more of agencies than has been asked in the past. The barrier analysis process cannot be guided solely by examining workforce statistics. While 'snapshot' statistics can be useful as a starting point, statistics alone do not enable an agency to effectively identify workplace barriers.

Workforce statistics can serve to reveal symptoms of barriers to equal opportunity. It must be understood, however, that the statistics themselves are not the barriers. Therefore, when there is an indication, through statistical analyses or other means, that potential barriers may exist in its workplace, an agency is responsible for undertaking a thorough examination of all related policies, procedures and practices to uncover whether an actual barrier to equal employment opportunity exists. It is only after an agency uncovers and understands the actual barrier that appropriate objectives can be implemented to eliminate it.

Lastly, in addition to analyzing workforce statistics, Section II requires agencies to explore a variety of

sources to identify potential barriers to equal employment opportunity.

Section III: Reporting Requirements and Line-by-line Instructions

Section III provides basic information on agencies' reporting requirements and responsibilities to EEOC. The section prescribes the standard format for federal agencies to report progress in establishing and maintaining continuous programs of equal employment opportunity.

EEOC FORM 715-01 is introduced with an overview of the parts which make up the form. The overview of the form is followed by detailed, line-by-line, instructions on how to complete the required forms which must be submitted to EEOC on an annual basis.

EEOC FORM 715-01

Immediately following Section III, a blank EEOC FORM 715-01 is provided. Placing these Instructions in a loose-leaf, three-ring binder will facilitate removal of the blank EEOC FORM 715-01 from the binder for side-by-side use with the line-by-line instructions in Section III. Finally, there is a removable set of formats for displaying workforce data profiles.

EEOC's Review of Agency Plans and Program Evaluation

Pursuant to its authority under Section 717 of Title VII of the Civil Rights Act, as amended, Section 501 of the Rehabilitation Act, and Executive Order 12067, EEOC will evaluate an agency's compliance with the laws enforced by the Commission through review of the agency's plans, status reports, direct agency contact, review of government employment data, and through other appropriate means.

As it deems appropriate, EEOC will conduct evaluations of an agency's EEO program effectiveness, both at the agency's headquarters and at its field installations or operating components. In evaluating the fitness of an agency's EEO programs, the Commission will consider the agency's efforts to

¹ It should be noted that federal employees and applicants for employment are also protected from discrimination by the Age Discrimination in Employment Act of 1967 and the Equal Pay Act of 1963.

² Additionally, federal applicants and employees are protected from discrimination based on their sexual orientation. For further information on the protections provided, please consult Civil Service Reform Act of 1978, and Executive Order 11478 (1969), as amended by Executive Order 13087 (1998). Federal applicants and employees suspecting discrimination on the basis of sexual orientation should contact the Office of Special Counsel (www.osc.gov).

attain a model EEO program and to identify and eliminate barriers to equal opportunity.

Federal Agencies Covered

Each Department, agency, and instrumentality in the executive branch, including the U.S. Postal Service and the Postal Rate Commission, shall establish and maintain a continuing affirmative program of equal employment opportunity as mandated by Section 717 of Title VII and Section 501 of the Rehabilitation Act. Such continuing affirmative programs of EEO shall require that all employment decisions of federal employment be made free of discrimination against any group based on race, color, religion, sex, national origin or disability and that there be equal access for all.

All agencies must meet the Congressionally mandated goal of making the federal government a model workplace that is free of discrimination. Once established and implemented, an agency must continuously monitor and assess its EEO Program against Commission standards.

Agency Actions Covered by Section 717

The employment decisions falling within the coverage of Section 717 of Title VII include, but are not limited to, hiring, advancement, discipline and participation in training. See 29 C.F.R. § 1607.2 B. Note that while recruitment decisions and practices are covered by Section 717 of Title VII, recruitment may be targeted to attract members of a particular race, sex, or ethnic group. The purpose of Title VII is equal employment opportunity, however, not parity or proportional representation. The objective is to provide the maximum opportunity for all employees to advance and to perform at their highest potential.

For additional information, refer to the following:

Executive Order 13197 -- Government-Wide Accountability for Merit System Principles; 5 U.S.C. 2301, Merit Systems Principles; 29 C.F.R. §1604 at Appendix A to §1604.11, Sexual Harassment; 29 C.F.R. §1605.2, Reasonable Accommodation (religion) without undue hardship; 29 CFR §1606 at

Appendix A to 29 C.F.R. §1606.8, Harassment (National Origin); 29 C.F.R. §1607.17, Policy Statement on Affirmative Action; 29 C.F.R. §1608.4, Establishing affirmative action plans; 29 C.F.R. §1608.12, Equal employment opportunity plans adopted pursuant to section 717 of Title VII; 29 C.F.R. §1614.101, General Policy; and, 29 C.F.R. §1614.102, Agency Programs.

Agency Actions Covered by the Rehabilitation Act and Related Statutes

Section 501 of the Rehabilitation Act requires affirmative action and nondiscrimination in employment by federal agencies of the executive branch. All agency actions are covered, but Section 501 particularly requires agencies to be proactive in the hiring, placement, and advancement of individuals with disabilities. The standards for determining employment discrimination under the Rehabilitation Act are the same as those used in Title I of the Americans with Disabilities Act.

Section 508 of the Rehabilitation Act establishes requirements for electronic and information technology developed, maintained, procured, or used by the Federal government. This technology is required to be accessible to people with disabilities. An accessible information technology system is one that can be operated in a variety of ways and does not rely on a single sense or ability of the user. Section 508 applies to copy and facsimile machines and not just computer equipment.

The Architectural Barriers Act (ABA) requires that buildings and facilities that are designed, constructed, or altered with Federal funds, or leased by a Federal agency, comply with Federal standards for physical accessibility. ABA requirements are limited to architectural standards in new and altered buildings and in newly leased facilities.

For further information, refer to the following:

29 U.S.C. § 791 (29 C.F.R. § 1614.203), Section 501 of the Rehabilitation Act of 1973, as amended; 42 U.S.C. § 12101 et. seq. (29 C.F.R. Parts 1630, 1602), Americans with Disabilities Act of 1990; 42

U.S.C. § 4151 et. seq. (41 C.F.R. Subpart 101-19.6), Architectural Barriers Act of 1968, as amended; 42 U.S.C. § 4151 et. seq. (www.access-board.gov); EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation; EEOC Enforcement Guidance on Reasonable Accommodation and Undue Hardship Under the Americans with Disabilities Act; EEOC Enforcement Guidance on Disability-Related Inquiries and Medical Examinations of Employees Under the Americans with Disabilities Act (ADA); EEOC Enforcement Guidance on the Americans with Disabilities Act and Psychiatric Disabilities; Executive Order 13163: Increasing the Opportunity for Individuals with Disabilities to be Employed in the Federal Government, and, Executive Order 13078 -- Increasing Employment of Adults with Disabilities.

Agency EEO Plan

As part of the affirmative employment plan it prepares, each agency should have an up-to-date time-line of activities to effectuate its program of equal employment opportunity. The plan should be responsive and tailored to resolve any barriers or problems detected.

Agencies should analyze appropriate data on the employment of federal workers in their workforces against appropriate and relevant civilian labor force availability data which EEOC will provide to federal agencies. Each agency is responsible for ensuring that it maintains the data required for EEO analysis as specified at 29 C.F.R. §1614.601 and that its records are timely, accurate, and complete.

The availability data, along with the agency's incumbency data, must be analyzed to identify problem areas and unnecessary barriers that disadvantage or exclude any group. Where barriers to equal opportunity are detected or discrimination is evident, agencies are expected to eliminate the barriers found or, if possible, lessen their impact if they are job-related and consistent with business necessity. To eliminate barriers, appropriate objectives need to be developed with accompanying steps, as currently required under Section 717 of Title VII and EEOC regulations.

Agency EEO Plan Coverage

Title VII and the Rehabilitation Act apply to all employees and applicants of covered agencies. The law provides protection for all persons to the extent the agency is covered. Agencies should include in each workforce profile all permanent employees -- that is, any member of the permanent workforce serving under either a competitive or excepted appointment, including permanent employees who work full-time, part-time, or intermittent work schedules. For these purposes, "permanent employees" include all employees serving under permanent accession codes. [Some examples of permanent accession codes include: 100; 101; 107; 112; 120; 124; 130; 140; 141; 170; 190; 500; 501; 540; 541; and 570.]

Agencies should track separately the representation of each EEO group in temporary jobs at each grade level, as well as those in non-appropriated fund positions. For these purposes, temporary workers are those who have been employed under temporary appointing authorities at any time during the fiscal year being analyzed. [Temporary (Not To Exceed) accession codes include 108; 115; 117; and 171]

Each agency must have an agency-wide plan covering all of its operating components and field installations. Agency-wide plans shall include instructions assigning specific responsibilities to be accomplished by the agency's various operating components and field installations to promote equal employment opportunity for all workers.

Consistent with Section 717 and the Rehabilitation Act, EEOC may require operating components and field installations to develop separate plans in accordance with program guidance and/or instructions.

Annual Statement of Establishment of Continuing EEO Programs

Each agency must certify to EEOC by January 31st following the end of the fiscal year that is being reported that it has a continuing affirmative employment program that is consistent with the

requirements set forth in EEO-MD-715. See Section III, Reporting Requirements and Line-By-Line Instructions, page 3.

State of the Agency Report

Following the submission of the agency's report to EEOC, there should be a "State of the Agency" briefing to the head of the agency by the EEO Director/Officer. This briefing should also coincide with the reaffirmation and re-issuing of the EEO policy by the head of the agency. The briefing should thoroughly cover all components of the EEOC FORM 715-01, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program, as well as a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of. Pertinent information from workplace data tables may be presented as well.

Technical Assistance and Support

As agencies review these Instructions and embark on the required tasks, EEOC is available to provide technical assistance and support. Inquiries and correspondence concerning EEO MD-715 and these Instructions should be directed to EEOC at the following address:

U.S. Equal Employment Opportunity Commission
Office of Federal Operations
P.O. Box 19848
Washington, D.C. 20036

Telephone: (202) 663-4599
Facsimile: (202) 663-4388

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Section I

The Model EEO Program

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The Model EEO Program

The Model EEO Program

This section explains the basic elements necessary to create and maintain a model EEO program, as required under both Title VII of the Civil Rights Act of 1964 (Title VII), as amended, 42 U.S.C. § 2000e et seq., and Section 501 of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended, 29 U.S.C. § 791 et seq. A model EEO program effectively considers and addresses concerns arising under both Title VII and Section 501 of the Rehabilitation Act.

When establishing a model EEO program, an agency should incorporate into the design a structure for effective management, accountability and self-analysis which will ensure program success and compliance with EEO MD-715. Agency personnel programs and policies should be evaluated regularly to ascertain whether such programs have any barriers that tend to limit or restrict equitable opportunities for open competition in the workplace.

EEO MD-715 divides the essential elements of model agency EEO programs into six broad categories, as listed below. An agency should review its EEO and personnel programs, policies and performance standards against all six elements to identify where their EEO program can become more effective.

The six essential elements for a model EEO program, as described in EEO-MD-715, at PART A, II. A-F, and PART B, III. A-F, are as follows:

- ✓ Demonstrated commitment from agency leadership;
- ✓ Integration of EEO into the agency's strategic mission;

- ✓ Management and program accountability;
- ✓ Proactive prevention of unlawful discrimination;
- ✓ Efficiency; and
- ✓ Responsiveness and legal compliance.

These six elements serve as the foundation upon which each agency shall build its program. The following describes each essential element and provides samples of the self-assessment inquiries that an agency should employ to determine whether its EEO program is properly established and compliant with the EEO MD-715 standards. Following the discussion of the Model EEO Program elements are instructions and a self-assessment checklist that all agencies will use to assess compliance with the elements of the model program.

Element One - Demonstrated Commitment

Start with an Effective EEO Program Policy Statement(s)³

- A committed agency/facility/installation head will, at the beginning of her/his tenure, and each year thereafter, issue a signed policy statement declaring the agency's position against discrimination on any protected basis.
- This policy shall be prominently posted in all personnel offices, EEO offices, and on the agency's internal website.

³ See 29 C.F.R. § 1614.102.

- This statement shall affirm the principles of equal employment opportunity and assure that EEO program requirements will be enforced by the agency head and agency management.
- Some of the principles the policy statement must assure will be upheld include, but are not limited to:
 - Equal employment opportunity for all employees and applicants for employment, regardless of their race, religion, color, sex, national origin, age, or disability.
 - All employees will have the freedom to compete on a fair and level playing field with equal opportunity for competition.
 - Equal employment opportunity covers all personnel/employment programs, management practices and decisions including, but not limited to, recruitment/hiring, merit promotion, transfer, reassignments, training and career development, benefits, and separation.
 - Workplace harassment will not be tolerated, allegations of harassment will be immediately investigated, and, where allegations are substantiated, appropriate action will be taken. (Anti-harassment policy requirements are discussed under Element Four. Agencies may choose to include all issues under one policy or issue a separate anti-harassment policy, based on their needs.)
 - Reprisal against one who engaged in protected activity will not be tolerated, and the agency supports the rights of all employees to

exercise their rights under the civil rights statutes.

Allocate Sufficient Resources

- An agency shall provide sufficient staffing and resources to operate the EEO program in an effective manner. For example, staff and resources should also be sufficient to enable accurate collection and analysis of data and other employment factors, including applicant information, to enable the efficient identification of barriers. This will necessarily require staff beyond the EEO office, particularly Information Management/Services.
- An agency must also provide sufficient staffing, funding, and authority to eliminate identified barriers. In order to determine whether it is providing sufficient resources an agency should examine a number of factors, including:
 - whether the agency employs personnel with the training and experience to conduct the analyses required by MD-715 and these instructions;
 - whether the agency's EEO staff has the knowledge, skills and ability to ensure that agency EEO programs and procedures are effectively implemented;
 - whether the agency has implemented adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions;
 - whether sufficient resources have been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and

eliminate discrimination under Title VII and the Rehabilitation Act;

process (29 C.F.R. § 1614.102(b)(5), (7)).

- whether EEO training and education programs are made available to all managers and employees;
- whether a central fund or other mechanisms have been established for providing disability accommodations;
- whether there is a Disability Program Manager or other mechanisms in place to ensure coordination of disability accommodations in all major components of the agency; and
- whether there are such Special Emphasis Program Managers as may be necessary (29 C.F.R. § 1614.102(b)(4)).

- Distribute the agency's reasonable accommodation procedures to all managers, supervisors, and others responsible for processing requests for reasonable accommodation, and make the procedures readily available to all other employees.
- Provide training to all employees and supervisors on the operation of the EEO process, protections afforded to employees, related policy statements, and reasonable accommodation procedures.

- Demonstrate the value of EEO to the agency and employees.

- Seek input (e.g., using employee surveys and focus groups, discussions with employee advisory groups, etc.) regarding the workplace environment.

Ensure All Employees are Informed

- An agency must ensure that EEO program information is distributed to all employees, using all media available, including the World Wide Web or Internet.
 - The agency must ensure that each employee is informed of the agency's annual EEO program policy statements, as well as the requirements and prohibitions of Title VII and the Rehabilitation Act, and the operation of the EEO complaint process and procedures.
 - Federal regulation requires that EEO posters and program information be prominently posted throughout the agency's facilities, and that complainants be advised, in writing, about the complaint

Element Two - Making EEO an Integral Part of the Agency's Strategic Mission

Structure From The Top

- The success of an agency's EEO program ultimately depends on individual decisions made by individual agency managers. Therefore, agency managers constitute an integral part of the agency's EEO program. The EEO office serves as a resource to these managers by providing direction, guidance and monitoring of key activities to achieve a diverse workplace free of barriers to equal opportunity.
- The agency's EEO program should be organized and structured in such a manner as to maintain a work place that is free from discrimination in any of its management policies, practices or

procedures and supports the agency's strategic mission.

- This necessarily includes an appropriate reporting structure, as previously mentioned. The agency's EEO Director shall have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program.
- Such access includes, but is not limited to, the State of the Agency briefing to be given to the head of the agency by the principal EEO Director/Officer following the submission of the agency's EEOC FORM 715-01. The briefing should thoroughly cover all components of the agency's EEOC FORM 715-01, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program, as well as a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of. Pertinent information from workplace data tables may be presented as well.
- Similarly, field level EEO Directors should have a regular and effective means of informing the field level agency head and other top field management officials of the effectiveness, efficiency and legal compliance of the field offices' EEO program. Again, such access includes, but is not limited to, the State of the Agency briefing to be given to the field level agency head by the principal EEO Director/Officer following the submission of the field's EEOC FORM 715-01 (whether such submission is made directly to the EEOC or to the agency's headquarters for inclusion in the agency-wide report).
- The agency should maintain EEO program organizational charts and procedures which

explain how sub-units/installations are to establish their own local programs and submit annual reports through the agency chain-of-command as described by this directive.

Strategic Commitment

- Ensure that EEO Officials are involved in critical workplace decisions, have regular access to senior staff, and participate in meetings where critical personnel decisions regarding management and the deployment of Human Resources are made.
- As previously mentioned, the allocation of sufficient resources to the EEO program cannot be over-emphasized. An agency must provide sufficient qualified staff and the resources to ensure quality customer service and a workplace free of discrimination to its employees. This includes the allocation of funding for mandatory EEO training of managers, supervisors and EEO staff.

Element Three - Ensuring Management and Program Accountability

Overall Accountability and EEO Programmatic Management

- Hire, develop, and retain supervisors and managers who have effective managerial, communication, and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications.
- Inform managers and supervisors that success and a positive evaluation will include an assessment of how that manager contributes to the agency's EEO program by emphasizing to managers and supervisors that equality of opportunity is

essential to attracting, developing and retaining the most qualified workforce, with such a workforce being essential to ensuring the agency's achievement of its strategic mission.

- For all managers and supervisors, make successful performance contingent, in part, on efforts to achieve a workplace free of discrimination. Agencies should develop their own standards to incorporate into the mission of the agency as a whole.
- Where discrimination has been found by an adjudicatory body, the agency must ensure full and prompt compliance with orders accompanying such decisions. This includes orders from the agency itself, the EEOC, the Merit Systems Protection Board, labor arbitrators, the Federal Labor Relations Authority, the Department of Labor, and federal courts. Agencies must also comply with the terms of settlement agreements entered into by the agency.
- The agency should review findings of discrimination, and the evidence collected in the investigatory record in other suitable cases, to determine the appropriateness of taking disciplinary action against agency employees, (including management officials, supervisors and/or co-workers), involved in the matter.
- Make clear that all managers and supervisors share responsibility with EEO program and human resources officials for the successful implementation of EEO programs.

- Provide managers and supervisors with initial and regular refresher training to understand their responsibilities under civil rights laws, including ADR, and how those responsibilities figure into the success of the agency's EEO program and overall mission.

- Conduct regular internal audits, on at least an annual basis, to assess the effectiveness and efficiency of the EEO program and to ascertain whether the agency has removed identified barriers to equality of opportunity in the workplace.

- Ensure that personnel policies and procedures, rules of conduct, promotion, evaluation and training systems are routinely reviewed to ensure that they are clearly defined, well-communicated, consistently applied and fairly implemented.
- Ensure there are procedures in place for effective coordination between the agency's EEO office and related agency human resource programs and other management programs, such as the Federal Equal Opportunity Recruitment Program (FEORP), ADR, Employee Relations, and others.

Element Four - Proactive Prevention

- As part of its ongoing obligation to prevent discrimination on the bases of race, color, national origin, religion, sex, age, reprisal and disability, and to eliminate barriers that impede free and open competition in the workplace, an agency must conduct a self-assessment on at least an annual basis to monitor progress, identify areas where barriers may operate to exclude certain groups, and develop strategic plans to eliminate identified barriers.

- As stated under Element One, an agency must develop and make known to all employees an effective anti-discrimination policy that explains what protections are afforded by the civil rights laws and how complaints may be raised, including the EEO process and other processes.
- In addition to the anti-discrimination policy mentioned above, agencies should develop a comprehensive anti-harassment policy to prevent harassment on all protected bases (including, but not limited to, sexual harassment) and retaliation in the workplace. The policy should:
 - Inform employees as to what type of behavior is prohibited, and the steps to take if faced with a harassment situation.
 - Provide for multiple avenues of redress, not just the EEO complaint process.
 - Provide that no acts of retaliation will be tolerated.
 - For further guidance, see *EEOC Enforcement Guidance: Vicarious Liability for Unlawful Harassment by Supervisors* (6/18/99); and *EEOC Enforcement Guidance on Harris v. Forklift Sys., Inc.*, 510 U.S. 17 (1993) (3/8/94).
- Pursuant to Executive Order 13164, as of July 25, 2001, all federal agencies were required to have developed written procedures for acting on requests for reasonable accommodation under the Rehabilitation Act. Agencies that remain noncompliant with this Executive Order must develop such procedures immediately and submit them to the Commission, which will offer feedback. The policy should be regularly evaluated for compliance with current law and regulations.⁴ An agency must ensure that all employees are informed of, and have access to, such procedures, including making the procedures available on the World Wide Web or Internet.
- An effective reasonable accommodation procedure must include the following:
 - An explanation as to how an employee or job applicant may initiate a request for reasonable accommodation.
 - An explanation of how the agency will process a request for reasonable accommodation and from whom the individual requesting accommodation will receive a final decision.
 - A designated time period during which reasonable accommodation requests will be granted or denied, absent extenuating circumstances.
 - An explanation of the responsibility of the employee or applicant requesting reasonable accommodation when the disability and/or need for accommodation is not obvious or already known to provide appropriate medical information, when requested, related to the functional impairment and the requested accommodation.
 - An explanation of the circumstances under which the

⁴ When an agency makes modifications to its procedures, the procedures must be resubmitted to the Commission. See *EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation* (10/20/00), Question 28.

agency may request supplemental medical information in support of an accommodation request.

- An explanation of the agency's right to have medical information reviewed by a medical expert of the agency's choosing at the agency's expense.
- An explanation of the circumstances in which reassignment will be required as a reasonable accommodation if the agency determines that no reasonable accommodation will permit the employee with a disability to perform the essential functions of his or her current position.
- A provision that denials of requests for reasonable accommodation will be in writing and specify the reasons for denial.
- A provision that the agency's systems of record-keeping track the processing of requests for reasonable accommodation and maintain the confidentiality of medical information received in accordance with applicable law and regulations.
- Encouragement of the use of informal dispute resolution processes to allow individuals with disabilities to obtain prompt reconsideration of denials of reasonable accommodation.
- Provisions for the effective dissemination of the written procedures and sufficient training.
- For further information, consult the *EEOC Policy Guidance on Executive Order 13164: Establishing*

Procedures to Facilitate the Provision of Reasonable Accommodation (10/20/00).

Element Five - Efficiency

- The agency must evaluate its EEO complaint resolution process to ensure it is efficient, fair and impartial. Processing times should not exceed those provided for in 29 C.F.R. Part 1614.
 - The agency's complaint process must provide for neutral adjudication; consequently, the agency's EEO office must be kept separate from the legal defense arm of the agency (i.e., the Office of General Counsel) or other agency offices having conflicting or competing interests.
 - Agencies must establish and make available an ADR program that facilitates an early, effective, neutral, efficient informal resolution of disputes. This enables disputants to potentially resolve disputes in a quick, amicable and cost effective manner.
 - The agency should have a system for identifying, monitoring and reporting significant trends reflected by complaint processing activity. Analysis of data relating to the nature and disposition of EEO complaints can provide useful insight into the extent to which an agency is meeting its obligations under Title VII and the Rehabilitation Act.
 - The agency should have a system for ensuring timely and complete compliance with EEOC orders, as well as the orders of other

adjudicatory bodies, and implementation of the provisions of settlement/resolution agreements.

- The agency must have in place adequate and accurate information collection systems, which are integrated into the agency's information management infrastructure, that will provide the ability to conduct a wide array of periodic examinations of the agency's Title VII and Section 501 workforce profile(s). Such systems will be used to collect data, and monitor and evaluate its EEO programs. All agencies shall provide for the following:
 - A data collection system that allows the agency to identify and evaluate information related to management actions affecting employment status. The system should be capable of tracking applicant flow data for each selection made by the agency identified by race, national origin, sex, and, where known, disability, as well as disposition of each application. 29 C.F.R. § 1607.
 - A system capable of monitoring employment trends through review of personnel transactions and other historical data.
 - A system capable of tracking recruitment efforts to permit data analyses of these efforts.
- The system shall allow integration of comprehensive management, personnel, and budget planning with Title VII and Rehabilitation Act program planning.
- All agencies shall also provide for a complaint tracking and monitoring system that permits the agency to identify the location, status, and length of time elapsed at each stage of the EEO complaint process, the issues and the bases of the

complaints, the aggrieved individuals, the involved management officials and other information necessary to analyze complaint activity to identify trends.

- All agencies must be mindful of the provisions of the Privacy Act of 1974, 5 U.S.C. § 552a, as amended, which regulate the collection, maintenance, use and dissemination of personal information by federal executive branch agencies. All agencies must balance the need to maintain information about individuals (such as aggrieved individuals and involved management officials) with the rights of such individuals to be protected against unwarranted invasions of their privacy stemming from federal agencies' collection, maintenance, use and disclosure of personal information about them. Accordingly, agency data collecting systems and complaint tracking and monitoring systems must be devised and implemented in a manner which complies with the Privacy Act. As always, agencies should guard against unwarranted disclosure of this information and ensure that appropriate protective measures exist to safeguard the information.
- Agencies are encouraged to consult with EEOC to learn which federal agencies have best practices that can be used as a model.

Element Six - Responsiveness and Legal Compliance

- The head of the agency or agency head designee shall certify to the EEOC that the agency is in full compliance with the EEO laws and EEOC regulations, policy guidance, and other written instructions. This annual certification will be provided on EEOC FORM 715-01 PART F.
- All agencies shall report their EEO program efforts and accomplishments to the EEOC and respond to EEOC directives and orders, including final orders contained in

administrative decisions, in accordance with instructions, time frames and deadlines.

- All agencies shall similarly comply with orders and directives of other adjudicatory bodies with concurrent jurisdiction over the EEO laws.

The following instructions explain the purpose of and how to fill out the self-assessment checklist.

Agency Self-Assessment Checklist

Purpose of the Self-Assessment Checklist

The following Self-Assessment Checklist is designed to provide an efficient and effective means for each federal agency to determine whether its overall EEO program is properly established and compliant with the essential elements (standards) set forth in EEO MD-715.

The Self-Assessment Checklist is intended to guide an agency through each essential element and is aimed at promoting compliance, quality, and timeliness in all facets of the agency's overall EEO program. While not the only method of assessment, using this checklist will assist the agency in identifying trends and/or issues for making informed decisions on topics where the agency needs to provide more attention. Use of the checklist also permits certification that the agency has conducted the required annual self-assessment (see PART F of EEOC FORM 715-01).

The Self-Assessment Checklist also is included as PART G of EEOC FORM 715-01. Although submission of PART G of EEOC FORM 715-01 is optional, agencies must nevertheless perform the mandatory self-assessment by completing the Checklist. Agencies also are responsible for maintaining such supporting documentation and data relative to the establishment of a model EEO program, regardless of whether they opt to submit PART G of EEOC FORM 715-01. All agencies must retain the Checklist and supporting documentation and make it available upon request by the EEOC. Such documentation should not be submitted with

EEOC FORM 715-01 even if the agency opts to submit PART G.

Whether or not an agency chooses to submit PART G of FORM 715-01, every agency is still required to develop plans for addressing "no" responses from the checklist. Agencies required to submit PART H of FORM 715-01 (see the chart on page three of Section III) must submit a PART H for each problem (or cluster of problems) that the agency has identified for correction or improvement.

Finally, if an agency submits its Self-Assessment Checklist as PART G and highlights the best practices it utilizes, the Commission may share those practices with the EEO community as a whole.

Set-up of the Self-Assessment Checklist

For each essential element, the checklist provides a series of "indicator" statements which are followed by another series of questions (measures) that will assist the agency in determining whether its EEO program(s) are properly established.

To the right of the measures, there are three columns. The first two columns are provided for the agency to indicate "yes" or "no" as to whether the measure has or has not been met. The third column provides space for the agency to indicate any appropriate comments.

How to use the Self-Assessment Checklist

Where "no" responses to questions are noted, the agency should explore for identification of program weaknesses or deficiencies. The results of each such exploration are reported on the EEO Plan For Obtaining the Essential Elements of a Model EEO Program, EEOC FORM 715-01 PART H.

Not all identified potential problems will necessarily require development of an EEOC FORM 715-01 PART H.

For example, if an agency head was only recently installed (i.e., within the last 2 months), a "no" response to the compliance indicator - "EEO Policy statements are up-to-date" - the agency should use





the space provided in the far right column of FORM 715-01 PART G, to report when the policy statement will be issued by the new agency head.

There may also be instances where an agency's "no" response actually is intended to indicate "not applicable." In such instances, the agency will check the "no" column but indicate "not applicable" in the comment column and provide a succinct explanation. For example, some of the smaller, volunteer-service agencies, such as The Peace Corps and The Corporation for National and Community Service, have over 75% of their workforces employed in temporary jobs. For these agencies, career development/training opportunities and competitive promotion programs are not provided to the extent that most other federal agencies provide such opportunities and programs. Similarly, for such agencies permanent appointments are almost non-existent, and thus the opportunity to convert an employee with a targeted disability from a "Schedule A" temporary appointment to a permanent appointment is very limited.

FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
AGENCY SELF-ASSESSMENT CHECKLIST MEASURING ESSENTIAL ELEMENTS



Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP

Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.

<p>Compliance Indicator </p> <p>Measures </p>	<p>EEO policy statements are up-to-date.</p>	<p>Measure has been met</p> <p>Yes No</p>		<p>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</p>
	<p>The Agency Head was installed on _____. The EEO policy was statement issued on _____. Was the EEO policy Statement issued within 6 - 9 months of the installation of the Agency Head? If no, provide an explanation.</p>			
	<p>During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually? If no, provide an explanation.</p>			
	<p>Are new employees provided a copy of the EEO policy statement during orientation?</p>			
	<p>When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?</p>			
<p>Compliance Indicator </p> <p>Measures </p>	<p>EEO policy statements have been communicated to all employees.</p>	<p>Measure has been met</p> <p>Yes No</p>		<p>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</p>
	<p>Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?</p>			
	<p>Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?</p>			
	<p>Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? [see 29 CFR §1614.102(b)(5)]</p>			



Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____

Compliance Indicator  Measures 	Agency EEO policy is vigorously enforced by agency management.		Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
	Yes	No	Yes	No	
Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:					
resolve problems/disagreements and other conflicts in their respective work environments as they arise?					
address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?					
support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?					
ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?					
ensure a workplace that is free from all forms of discrimination, harassment and retaliation?					
ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications ?					
ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?					
ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?					
Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions?					
Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.					
Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet?					
Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?					





Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION

Requires that the agency's EEO programs be organized and structured to maintain a workplace that is free from discrimination in any of the agency's policies, procedures or practices and supports the agency's strategic mission.

Compliance Indicator  Measures 	The reporting structure for the EEO Program provides the Principal EEO Official with appropriate authority and resources to effectively carry out a successful EEO Program.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
Is the EEO Director under the direct supervision of the agency head? [see 29 CFR §1614.102(b)(4)] For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official? (For example, does the Regional EEO Officer report to the Regional Administrator?)				
Are the duties and responsibilities of EEO officials clearly defined?				
Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?				
If the agency has 2 nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?				
If the agency has 2 nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting components?				
If not, please describe how EEO program authority is delegated to subordinate reporting components.				



Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____

Compliance Indicator  Measures 	The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
	Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?			
	Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?			
	Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections for training/career development opportunities, and other workforce changes?			
	Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as re-organizations and re-alignments?			
	Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]			
	Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure that EEO concerns are integrated into the agency's strategic mission?			
Compliance Indicator  Measures 	The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
	Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?			
	Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?			
	Are statutory/regulatory EEO related Special Emphasis Programs sufficiently staffed?			
	Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204			







Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____

Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204				
People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709				
Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs?				
Compliance Indicator  Measures 	The agency has committed sufficient budget to support the success of its EEO Programs.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
Are there sufficient resources to enable the agency to conduct a thorough barrier analysis of its workforce, including the provision of adequate data collection and tracking systems				
Is there sufficient budget allocated to all employees to utilize, when desired, all EEO programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)				
Has funding been secured for publication and distribution of EEO materials (e.g. harassment policies, EEO posters, reasonable accommodations procedures, etc.)?				
Is there a central fund or other mechanism for funding supplies, equipment and services necessary to provide disability accommodations?				
Does the agency fund major renovation projects to ensure timely compliance with Uniform Federal Accessibility Standards?				
Is the EEO Program allocated sufficient resources to train all employees on EEO Programs, including administrative and judicial remedial procedures available to employees?				
Is there sufficient funding to ensure the prominent posting of written materials in all personnel and EEO offices? [see 29 C.F.R. § 1614.102(b)(5)]				
Is there sufficient funding to ensure that all employees have access to this training and information?				
Is there sufficient funding to provide all managers and supervisors with training and periodic up-dates on their EEO responsibilities:				
for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?				
to provide religious accommodations?				
to provide disability accommodations in accordance with the agency's written procedures?				
in the EEO discrimination complaint process?				
to participate in ADR?				

Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY

This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.

Compliance Indicator  Measures 	EEO program officials advise and provide appropriate assistance to managers/supervisors about the status of EEO programs within each manager's or supervisor's area or responsibility.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?				
Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer?				
Compliance Indicator  Measures 	The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)]	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?				
Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?				
Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?				
Compliance Indicator  Measures 	When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?				
Have all employees, supervisors, and managers been informed as to the penalties for being found to perpetrate discriminatory behavior or for taking personnel actions based upon a prohibited basis?				



Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]



FY _____

Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?			
If so, cite number found to have discriminated and list penalty /disciplinary action for each type of violation.			
Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?			
Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.?			

Essential Element D: PROACTIVE PREVENTION





Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace.

Compliance Indicator  Measures 	Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity?				
When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?				
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?				
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?				
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?				
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?				
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?				
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?				

Compliance Indicator  Measures 	The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are all employees encouraged to use ADR?				
Is the participation of supervisors and managers in the ADR process required?				



Essential Element E: EFFICIENCY





Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process.



Compliance Indicator  Measures 	The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the EEO Office employ personnel with adequate training and experience to conduct the analyses required by MD-715 and these instructions?				
Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?				
Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act?				
Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?				
Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?				
Compliance Indicator  Measures 	The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency use a complaint tracking and monitoring system that allows identification of the location, and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?				

Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____





Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?				
Does the agency hold contractors accountable for delay in counseling and investigation processing times?				
If yes, briefly describe how:				
Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?				
Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110?				
Compliance Indicator  Measures 	The agency has sufficient staffing, funding and authority to comply with the time frames in accordance with the EEOC (29 C.F.R. Part 1614) regulations for processing EEO complaints of employment discrimination.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
Are benchmarks in place that compare the agency's discrimination complaint processes with 29 C.F.R. Part 1614?				
Does the agency provide timely EEO counseling within 30 days of the initial request or within an agreed upon extension in writing, up to 60 days?				
Does the agency provide an aggrieved person with written notification of his/her rights and responsibilities in the EEO process in a timely fashion?				
Does the agency complete the investigations within the applicable prescribed time frame?				
When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?				
When a complainant requests a hearing, does the agency immediately upon receipt of the request from the EEOC AJ forward the investigative file to the EEOC Hearing Office?				
When a settlement agreement is entered into, does the agency timely complete any obligations provided for in such agreements?				
Does the agency ensure timely compliance with EEOC AJ decisions which are not the subject of an appeal by the agency?				

Compliance Indicator  Measures 	There is an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of the agency's EEO complaint processing program.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
	In accordance with 29 C.F.R. §1614.102(b), has the agency established an ADR Program during the pre-complaint and formal complaint stages of the EEO process?			
	Does the agency require all managers and supervisors to receive ADR training in accordance with EEOC (29 C.F.R. Part 1614) regulations, with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR?			
	After the agency has offered ADR and the complainant has elected to participate in ADR, are the managers required to participate?			
	Does the responsible management official directly involved in the dispute have settlement authority?			
Compliance Indicator  Measures 	The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
	Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the EEOC?			
	Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102(a)(1)?			
	Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC?			
	Do the agency's EEO programs address all of the laws enforced by the EEOC?			
	Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?			
	Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?			
	Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?			

Compliance Indicator  Measures 	The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO complaints?				
Does the agency discrimination complaint process ensure a neutral adjudication function?				
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?				



Essential Element F: RESPONSIVENESS AND LEGAL COMPLIANCE

This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.

Compliance Indicator  Measures 	Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have a system of management control to ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative Judges?				
Compliance Indicator  Measures 	The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.	Measure has been met Yes No		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.				
Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?				
Are procedures in place to promptly process other forms of ordered relief?				

Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____

Compliance Indicator  Measures 	Agency personnel are accountable for the timely completion of actions required to comply with orders of EEOC.		Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
	Yes	No	Yes	No	
Is compliance with EEOC orders encompassed in the performance standards of any agency employees?					
If so, please identify the employees by title in the comments section, and state how performance is measured.					
Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?					
If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section.					
Have the involved employees received any formal training in EEO compliance?					
Does the agency promptly provide to the EEOC the following documentation for completing compliance:					
Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?					
Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?					
Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?					
Compensatory Damages: The final agency decision and evidence of payment, if made?					
Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?					
Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s					
Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.					
Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter).					
Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.					

Annual Self-Assessment Checklist for [Insert Name of Agency or Reporting Component Here]

FY _____

Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.			
Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.			
Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.			

Section II Barrier Identification and Elimination

Instructions to Federal Agencies for EEO MD-715

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Barrier Identification and Elimination

SELF-ASSESSMENT: BARRIER IDENTIFICATION AND ELIMINATION

Barrier identification and elimination is the process by which agencies uncover, examine and remove barriers to equal participation at all levels of the workforce. A barrier is an agency policy, principle or practice that limits or tends to limit employment opportunities for members of a particular sex, race, or ethnic background, or based on an individual's disability status. Barrier removal is vital to achieving the common goal of making the federal government a model employer.

To achieve this goal, each federal agency should work to create a barrier-free work environment where qualified applicants and employees have the freedom to compete and participate to the fullest extent possible, at all levels within the agency.

Understanding Barriers

The use of the word barrier in everyday life may illustrate how employment barriers operate. According to one dictionary, a barrier may be a fence, wall, or other physical obstruction built to bar passage. An example of a physical barrier to employment of individuals who use wheelchairs would be a work site that requires all employees to climb stairs because it lacks ramps and elevators.

The barrier analysis required by MD-715, however, is not limited to physical barriers. Barriers can result from prejudice, stereotyping, fear, comfort level or customer preference. Many employment barriers are built into the organizational and operational structures of an agency, embedded in the day-to-day procedures and practices of the agency. For example, an agency may recruit new attorneys from a limited number of law schools. If these law schools enroll only a few or no Hispanic students, the agency's hiring pool will be limited to all or virtually all non-Hispanic applicants. Although neutral on its face, this practice and policy is a barrier as it will have the effect of limiting the employment opportunities of well-qualified

Hispanic attorneys. It also will unnecessarily limit the pool of talented individuals from which agency officials may draw.

Agencies should be mindful that "good" intentions will not be sufficient to avoid liability for unlawful discrimination, where a selection procedure is found to unnecessarily burden members of an EEO group. An agency is required to examine any procedure that operates to disproportionately burden identified groups. The agency must determine whether such a procedure is job-related and consistent with business necessity. Where members of an identified group are disproportionately impacted by a procedure or practice, such procedure will not be permissible if it is not job-related and consistent with business necessity. Even if that standard is met, however, it is important that agencies investigate the possibility of using an alternative procedure that accomplishes the same legitimate purpose, with a less discriminatory impact. In addition, it is important to remember that, in the case of individuals with disabilities, even if a selection criterion is job-related and consistent with business necessity, an employer cannot exclude an individual with a disability if the position criterion could be met or job performance accomplished with reasonable accommodation.

The elimination of barriers will allow agencies to fully utilize the knowledge, skills and abilities of each of its employees. It may also help an agency avoid findings of discrimination. As findings of discrimination can be expensive--back pay awards, compensatory damages, and attorney's fees--barrier identification and elimination is an agency's proactive opportunity to avoid the negative results of barriers.

As the federal government moves to an electronic workplace, access to information and data in electronic format will increasingly be needed for the performance of essential job functions. The Architectural and Transportation Barriers Compliance Board (Access Board) has issued Electronic and Information Technology Accessibility

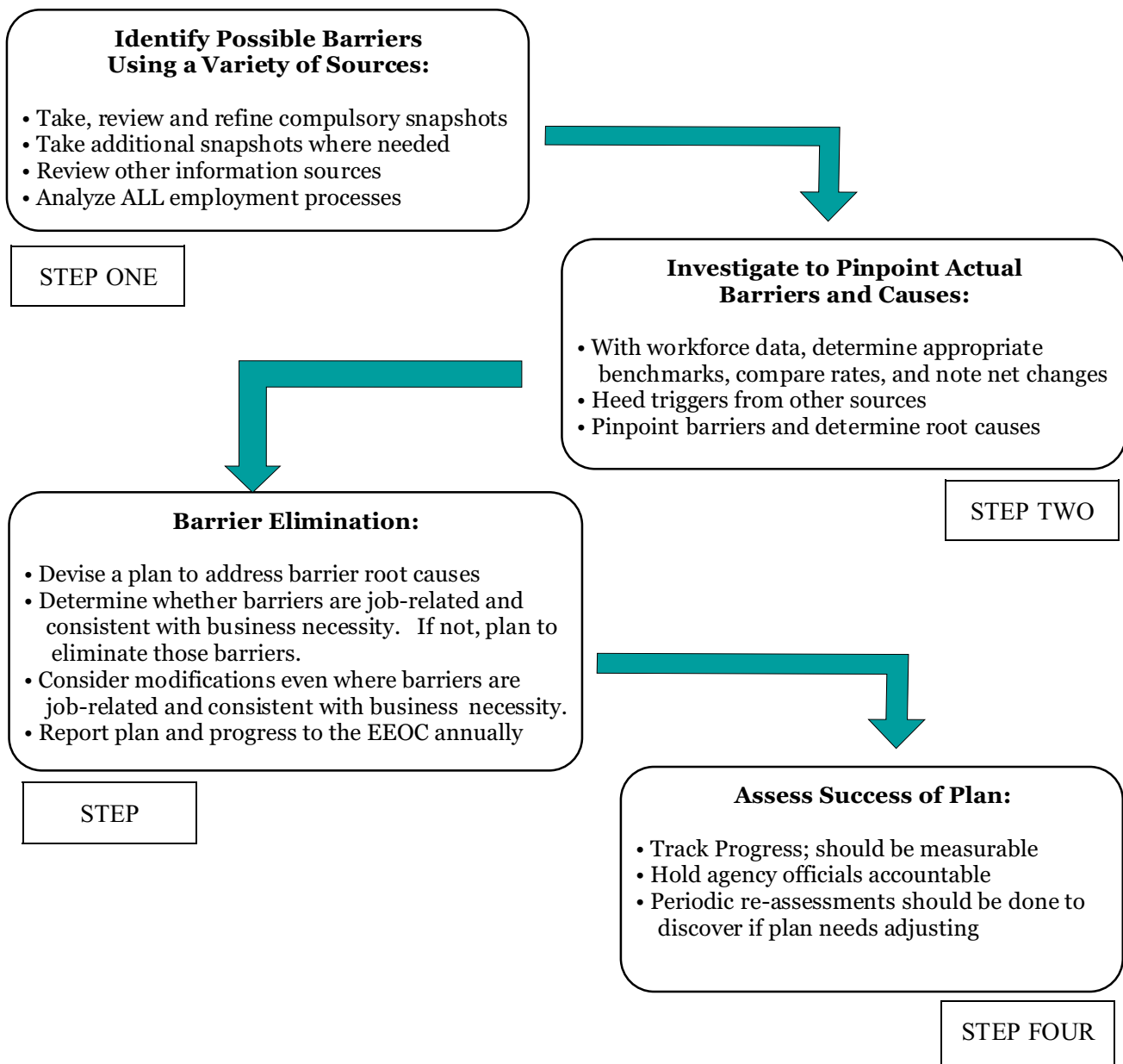
Standards to ensure that the electronic and information technology used by federal agencies allows individuals with disabilities to have access and use of information and data that is comparable to that afforded those who do not have disabilities.

The Section 508 (of the Rehabilitation Act) standards address various types of technology and means of disseminating information, including

computers, software, websites, and electronic office equipment, and are available on the Access Board's website: <http://www.access-board.gov>. See also <http://www.arnet.gov/far/> and <http://www.usodj.gov/crt/508>.

The following is the barrier identification and elimination process at a glance. The process at a glance is followed by detailed instruction on each step in the process.

Barrier Identification & Elimination Process At-A-Glance



Step One - Analyze Source Material

Workforce Data Analysis

Identify Possible Barriers Using a Variety of Sources:

- Take, review and refine compulsory snapshots
- Take additional snapshots where needed
- Review other information sources
- Analyze ALL employment processes

Agencies have an ongoing obligation to eliminate barriers that impede free and open competition in the workplace and prevent members of any EEO group (i.e., all applicants and employees) from realizing their full potential. On at least an annual basis agencies shall evaluate their workforce to assess progress toward the model workplace goal and identify areas where barriers may operate to exclude certain groups.

EEO MD-715 does not require the compilation of workforce data simply to produce a report to

EEOC. Instead, agency attention should be devoted to what the compiled data reveals about the agency and its workforce. The process itself, barrier identification and elimination, is much more important than the end product of a report and workforce tables.

With that in mind, where does an agency begin to look for barriers to equal employment opportunity? As an initial step, an agency should analyze its workforce data, by taking compulsory snapshots in the format provided in workforce data tables. An agency may find clues to potential employment barriers by looking at the participation rates of its employment population to determine if any particular group (e.g., women, individuals with disabilities, Asians, etc.) is being underutilized by the agency in a particular occupation or at a particular grade or pay level.

Data analysis is accomplished by using appropriate comparators and generally accepted statistical methods. For example, note the benchmarks set for the following categories:

SNAPSHOT BENCHMARKS	
SNAPSHOT	TYPICAL BENCHMARK
Total Workforce (Tables A1 & B1) Perm. Workforce (Tables A1 & B1) Perm. Workforce (Tables A1 & B1)	National Civilian Labor Force (CLF)
Major Occupations (Tables A6 & B6)	Relevant Civilian Labor Force (RCLF) for the Occupation ¹
Grade Level Distribution (Tables A4-5 & B4-5)	Workforce
Applicants (Tables A7 & B7)	RCLF / Recruitment Plan & Efforts
Promotions (Tables A9-11 & B9-11)	Workforce / Feeder Grades
Training Opportunities (Tables A12 & B12)	Workforce
Performance Incentives (Tables A13 & B13)	Workforce
Separations (Tables A14 & B14)	Workforce / Rate Difference of Voluntary v. Involuntary
<p>1. Use RCLF data, with the appropriate level of geographic detail, depending on whether the total workforce being evaluated is agency-wide or facility specific. If you have any questions about how to determine the RCLF or appropriate benchmark, contact the EEOC for guidance.</p>	

Workforce Snapshots

Going through each of the snapshots listed in the above table, the first snapshots will be of the an agency's total workforce, permanent workforce and temporary workforce.² Agencies will compare the work force information to the national civilian labor force (CLF) availability data. The national CLF, which is preprinted on the relevant forms, can be found using the Census EEO Data Tool at <http://www.census.gov/eo2000/>, and making the appropriate selections. The national CLF is also available on the EEOC's website at _____, with no manipulation required. The comparison information yielded from these snapshots will be gross comparisons to get a broad look at the agency's workforce and the national CLF.

Next, agencies should look at its workforce broken out by the nine job category titles as compared to the national CLF for each.³ For definitions of the nine job category titles see pages 17-18 of this section. Disparities or anomalies that appear in the

²For purposes of MD-715 and its associated documents, total workforce is defined as the sum total of an agency's temporary and permanent workforces. Temporary workforce totals shall include the number of temporary full-time and temporary part-time employees who, as of the September 30, have not been officially separated from the agency by Standard Form 50 (SF-50) or equivalent action. This includes employees with temporary tenure, temporary intermittent employees, temporary non-appropriated fund employees, and casual and/or seasonal employees. It does not include foreign nationals employed overseas.

Permanent workforce totals shall include the number of permanent full-time and permanent part-time employees who, as of the September 30, have not been officially separated from the agency by Standard Form 50 (SF-50) or equivalent action. This includes employees with permanent tenure, permanent intermittent employees, and permanent non-appropriated fund employees. This does not include foreign national employed overseas.

³ Note, there is no national CLF data available for the three sub-categories of officials and managers that appear in the work tables. Agencies should only use the national CLF as a comparison tool for the sum total of all three sub-categories together.

comparisons are a trigger that an agency will need to further inquire into the disparity.

The next snapshot will consist of a look at the total workforce as distributed by major occupations. Major occupation is defined in MD-715 as agency occupations that are mission related and heavily populated, relative to other occupations within the agency. The benchmark this snapshot should be compared to is the RCLF availability data. Relevancy will be based on the CLF availability data for the occupation in question, as well as geographic considerations of the recruitment area for the occupation in question. This comparison, as others, will yield a broad picture of the agency. This snapshot will also, as those that follow, narrow the picture for agency personnel, such that triggers may be revealed.

Following major occupations, a snapshot of the total workforce by grade level (WG or GS) should be taken. This too should be compared to the total workforce, to evaluate the distribution and proportionality of the workforce. Next, agencies will take a snapshot of their applicant pool.⁴ Applicant information should be compared to the RCLF, from a numerical perspective. Additionally, agencies should evaluate applicant flow information against its recruitment plans and efforts to determine the effectiveness of such.

The next three snapshots involve employee progress: promotions, training opportunities, and performance incentives. These should all be compared to the total workforce, again to evaluate the distribution. Specific to the promotions snapshots, an additional benchmark comparison will be the "feeder grades," or those grades that typically feed into the promoted positions at issue. Where a particular group may not earn promotions at rates similar to other groups, the "feeder" benchmark will give agencies a refined picture as to where the disparities might exist or begin.

⁴ An applicant flow form will not be provided by the Commission. Agencies are free to create one, or utilize a form created by another agency. Please consult with the agency's Office of General Counsel or Office of Legal Counsel when creating a new form.

Finally, the last compulsory snapshot noted in the above chart is separations. This too will be compared to the total workforce. Agencies should also evaluate the separations as divided between voluntary and involuntary separations. All these snapshots will provide agencies with a broad picture, and serve as a foundation to delve further where necessary.

Guidance for Using Census 2000 EEO Data Tool

Agencies may use the Census 2000 EEO Data Tool to compare their major occupations to the availability data provided by Census's Data Tool. For example, if one of an agency's major occupations is "accountants and auditors", and the agency recruited nationally for that occupation, the agency could obtain the availability data for that occupation by going to the Census website at <http://www.census.gov/eo2000/>. In the first window, choose the table for "Employment by OPM Occupation Groups, Geography and Race." In the "Geography" box, select "Residence" and click "Next." In the next window, select "US Total" and click "Next." In the next window, select "Accountants and Auditors." Scroll down the page and click "Display table" and the next window will have tables showing the number and percentage of people available nationwide for the occupation of accountants and auditors.

If, on the other hand, an agency recruited its accountants and auditors from a particular geographical area, the agency should not select "Residence" but should instead select "Worksite" and, in the next window, should select the particular counties (or places) from which the agency recruited. Where an agency compares workforce participation against a benchmark other than national (e.g. regional, state, county or place), the agency should select "Worksite" data, not "Residence." Agencies should always indicate the sources of the availability data chosen for comparison.

Refine

After an agency has completed its initial snapshots, disparities or trends may become apparent.

Variations between actual and expected participation rates, based on the benchmarks, may be an important clue that further snapshot refinement is needed to determine if something in an agency's policies, procedures or practices may be artificially limiting the employment opportunities for particular workforce groups. The goal is to uncover evidence of potentially hidden barriers in order to engage in the proactive prevention of discrimination.

After such refinement, where variations or disparities continue to appear, the next step an agency will take is to conduct a thorough investigation of relevant policies, procedures and practices to determine the causes of the identified disparities and pinpoint the root causes of discovered barriers. Thus, the primary use of comparative statistics is as a guide to direct potential investigations. This will be discussed further under Step Two.

Additional Sources of Clues to Possible Barriers

Beyond workforce snapshots, other information is available to agencies which will help to identify areas where barriers may operate to exclude certain groups. Surveys, for example, may reveal information on experiences, perceptions or difficulties with a practice or policy within the agency. Thus, in concert with the compulsory and refined snapshots of the workforce, agencies must consult many additional sources of information, including:

- any indication of trends or problem areas revealed in a review of EEO complaints and EEO-related grievances filed
- findings of discrimination
- surveys of employees on workplace environment issues
- exit interview results
- surveys of HR program staff, managers, EEO program staff, counselors,

investigators, and selective placement coordinators

- input from agency employee and advocacy groups, and union officials
- available governmental reports (i.e., EEOC, GAO, OPM, MSPB, DOL)
- local reports in surrounding news periodicals, as well as reports found in national publications
- examinations of the workplace for evidence of a variety of barriers, such as architectural barriers; assessments of whether disability accommodation processes are functioning smoothly; and, assessments of whether the agency's information technology office has the staff and resources to make various types of technology accessible to individuals with disabilities.

All these source materials are invaluable to barrier identification. Reliance solely on workforce profiles and statistics will not meet the mandate of EEO MD-715.

Once initial and refined snapshots of the workforce have been taken for each relevant category (i.e., race, national origin, sex and disability) and each relevant subset of each category (i.e., grades/pay levels/pay bands, the occupational categories), and other source material has been collected and reviewed, an agency can move forward to step two of the self-analysis: Investigation to Pinpoint Actual Barriers and Causes.

Step Two - Investigate to Pinpoint Actual Barriers and Their Causes

Data analysis is only a part of barrier analysis. Evaluation of data can help identify agency policies, practices and/or procedures that may be restricting

or limiting equitable opportunity for employees and applicants. Data analysis can also illuminate weaknesses in the effectiveness of an existing EEO program.

Investigate to Pinpoint Actual Barriers and Causes:

- With workforce data, determine and utilize benchmarks, compare rates, and note net changes
- Heed triggers from other source material
- Pinpoint barriers and determine root causes

Is There a Barrier?

When the data indicates potential barriers may exist, agencies need to conduct further inquiry to identify and examine the factors that caused the situation revealed by the data. Keep in mind, however, that while these workforce snapshots are useful as an initial diagnostic tool, conclusions concerning the existence of workplace barriers cannot be drawn solely from these numerical assessments. Rather, the identification of workplace barriers will require a thoughtful examination of all of the circumstances. Because an effective EEO program is both proactive and corrective, a systematic analysis of the employment opportunities in an agency is needed to identify potential barriers to equality of opportunity.

A thoughtful examination will include, but not be limited to:

- A thorough examination of relevant policies, procedures and practices;
- An evaluation of all related workforce data, statistics and trends;
- A review of complaints, survey trends and other information, such as feedback from exit interviews and focus groups, research literature, etc.;
- An examination of whether the pinpointed barrier is job-related and consistent with business necessity.

From this investigation, useful objectives and action items can be developed. The entire barrier identification and elimination process depends on a thorough analysis.

For example, at Agency X, persons with targeted disabilities make up only 0.5% of the total workforce, a percentage far below the government-wide average. Because the agency's historical data reveals that individuals with targeted disabilities have been virtually absent throughout the agency's workforce, it is clear that they are not being hired. Therefore, the agency's inquiry, guided by the glaring disparity it uncovered, requires an examination of the total hiring process at the agency to look for potential barriers to the employment of individuals with targeted disabilities.

In investigating the cause behind this variation, some of the questions Agency X needs to explore are:

- What are the external hiring opportunities for the agency?
- What is the applicant rate of persons with targeted disabilities?
- Does the agency have a recruitment plan? Does it include a focus on persons with targeted disabilities?
- Where and how is the agency advertising for applicants? Are there focused efforts to attract applicants with targeted disabilities such as: working with the disability services office at colleges and universities with agency-appropriate fields of study so that vacancy announcements can be distributed to students with disabilities; recruiting at schools with a student population that includes significant numbers of individuals with disabilities; contacting state vocational rehabilitation programs; advertising in periodicals published by advocacy groups for individuals with disabilities, etc.?
- Is the application process itself accessible to individuals with disabilities? For example,

are on-line applications accessible to individuals with vision impairments?

- How many applications were received from individuals with targeted disabilities and, of these applications, how many individuals were initially rated as qualified and referred to the ultimate selecting official for consideration? Is the percentage of applicants with targeted disability rated as qualified and referred to the ultimate selecting official comparable to the rate for all applicants? If not, is the agency recruiting applicants with disabilities who have the appropriate qualifications? How are applicants initially rated as qualified for the position? What standards are being used? Are those standards job-related and consistent with business necessity? Are there alternative standards to measure the skills necessary to perform the job which have less of an impact on people with disabilities?
- How many applicants rated as qualified for a position are ultimately selected? What is the process for ultimately selecting an applicant referred as qualified for the position?
- Are rating officials, including personnelists doing initial ratings, and selecting officials familiar with their responsibilities to provide reasonable accommodation to qualified individuals with disabilities? Does the agency have effective reasonable accommodation procedures that are compliant with Executive Order 13164 and related EEOC guidance?

Answers to these questions, and others, will help pinpoint more precisely where barriers exist, the nature and causes of the barriers and help develop a plan for eliminating the barrier.

Job-Related and Consistent with Business Necessity?

When conducting an investigation into a barrier, one of the key determinations to be made is

whether an uncovered barrier is job-related and consistent with business necessity. In some cases, an investigation will uncover a barrier which is job-related and necessary. EEO MD-715 requires agencies to eliminate barriers if they determine that the barrier is not job-related. Does the test or job qualification require knowledge, skills and abilities (KSAs) that are necessary for the performance of essential job functions? For example, a medical degree and license are examples of job-related qualifications for a physician position, but the ability to proficiently use a firearm for administrative employees of a law enforcement agency may be an example of an unnecessary barrier. Note that customer and/or coworker preferences are not job-related reasons for the existence and perpetuation of barriers. Attitudes and stereotypical beliefs that diminish employment opportunities based on factors not related to job performance are also not job-related. Therefore, barriers created by attitudes and stereotypical beliefs that diminish employment opportunities must be eliminated.

More complicated are barriers which are job-related, like some tests or qualification standards. However, even if an agency determines that a test, job qualification, or selection criterion is job-related and consistent with business necessity, the agency should nonetheless determine whether there are alternatives to the selection criterion or how a skill set can be demonstrated such that the negative impact on a particular group is reduced.

For example, an agency has uncovered a lack of Black women in its program analyst occupation at the grade 13 level and above. However, below the grade 13 level the program analyst occupation is quite diverse, including a significant number of Black females. Further examination of the matter reveals that several years ago the agency instituted a requirement that program analysts hold a Masters of Business Administration (MBA) degree in order to be promoted to the grade 13 level or above. Few internal candidates, and none of the Black female program analysts employed by the agency, hold an MBA. Therefore, the agency was recruiting higher level program analysts from a local business school with a student population comprised of primarily White males. Over time, program

analysts at the grade 13 and above did not reflect the racial diversity of the program analysts at the lower grade levels.

First, the agency should re-visit the issue of whether the skill set represented by an MBA is available by some alternative means such as years of work experience in certain areas. This experience might be substituted for holding an MBA in rendering an applicant qualified for consideration for a higher-graded position. If it is determined that the agency's requirement for an MBA is in fact job-related and consistent with business necessity, the agency should consider whether other alternatives exist which will have less impact on a particular group. Most obviously, the agency could recruit MBAs from other schools with more diverse student populations. In addition, the agency might consider steps it could take to facilitate its own lower-graded employees obtaining MBAs.

Even where an agency has determined that a qualification standard, test, selection criterion, or other factor is job-related and consistent with business necessity, in the case of individuals with disabilities, the agency must conduct further analysis to determine if the applicant or employee can satisfy the qualification standard, test, or selection criterion with reasonable accommodation.

For example, an agency's procedures require that candidates for a fire-fighter position pass a timed written test. An individual with a learning disability applies for the position. He is well-qualified. However, when informed about the timed written test, he requests extra time because of his learning disability. Although the written test may be job-related and consistent with business necessity because it ensures that fire-fighters understand safety and other requirements, if adding 30 minutes to the time allowed for completion of the test does not compromise the results, the individual with the learning disability should be allowed an extra 30 minutes to complete the written test as a reasonable accommodation.

Thus, each element of the overall selection process should be examined to determine which elements operate to exclude employees or applicants. Such elements include, but are not limited to,

recruitment, testing, ranking, interview, recommendations for selection, hiring, assignment, and promotions. In addition, the evaluation may require more than examining selections and promotions. Training, details, and other developmental assignments are opportunities for which all qualified employees should have the freedom to compete. Such opportunities often play a central role in selections for higher level positions. In addition, the denial of opportunity in training, details, and other developmental assignments may result in mission-critical talents not being fully developed.

In addition to selections, an agency must examine its disciplinary actions. For example, is there a group that is subject to disciplinary actions at a disproportionately high rate? Why? There should also be a focus on separations. Are individuals with disabilities separating at a rate disproportionately higher than the rest of the workforce? Why? These are the processes and types of questions agencies need to ask in order to investigate and attempt to uncover barriers to equal employment opportunity.

Step Three - Eliminate Barriers

Once the agency has analyzed all source materials available to it, followed clues to pinpoint potential barriers, and conducted thorough investigations of those potential barriers, the next step is to plan for improvement, developing overall objectives for barrier elimination, with corresponding action items, responsible personnel and target dates.

Barrier Elimination:

- Devise a plan to address barrier root causes
- Determine whether the barriers are job-related. If not, plan to eliminate those barriers
- Consider modifications where barriers are job-related and consistent with business

An objective, with accompanying action items, is a description of what specific actions the agency will take to eliminate or modify barriers to equal employment opportunity in its workplace. Each

action item must set a completion date and identify the one high-level agency official who is responsible for ensuring that the action item is timely completed.

Remember, a plan is nothing more than a piece of paper if it is not implemented. The purpose of setting a completion date and identifying a high-level agency official who is responsible for ensuring that the action item is timely completed is so that the agency officials can be held accountable for timely action item completion. If action items are not timely completed, agency officials should be held accountable for their performance deficiencies.

After a desired plan for improvement has been selected, an agency will be required to report (*i.e.*, its participation rates, its perceived potential barriers, the results of investigations including how results were arrived at, and the plan of action and objectives set to address identified barriers) to the Commission. This information can be reported on FORM 715-01 PART I.

Perhaps the recruitment barrier investigation conducted by Agency X above revealed that disability goals were not considered when the recruitment plan was developed. Further the colleges and universities targeted for recruitment by Agency X have a low population of individuals with disabilities. In addition, the application process itself has a number of impediments for individuals with certain kinds of disabilities. Each of these factors operates as a barrier to individuals with disabilities and must be removed.

A reasonable set of action items for Agency X would include:

- Establishing goals for the hiring and advancement of individuals with disabilities;
- Re-vamping the recruitment plan to include addressing those disability-related goals, including recruiting at universities and trade schools where the population of persons with disabilities is very high;
- Addressing all accessibility issues in the application procedures, including the

provision of reasonable accommodation during the application and pre-employment testing process.

It should also be remembered that in removing one barrier, an agency may uncover another previously unidentified barrier. Thus, additional action items may be necessary. Barrier identification and removal is a continuous, evolving process.

Remember that agencies cannot account for every variation or anomaly that comparative snapshots reveal. Rather than striving for specific numbers, federal agencies should focus on ensuring that their workplaces offer equal access, competition and opportunity.

Step Four - Plan Assessment

Assess Success of Plan:

- Track progress; should be measurable
- Hold agency officials accountable
- Periodic re-assessments should be done to discover if plan needs adjusting

Once a thorough investigation has been conducted and barriers to equal employment opportunity uncovered, a report on the findings and arising action items must be produced. This report will serve as the agency's roadmap for the next year. It should also name the agency official(s) who are accountable for ensuring that particular action items are accomplished. The report should also include a blueprint for periodic self-audits of the plan to ensure that the agency is on schedule and meeting its goals. On an annual basis, the Commission similarly will evaluate the progress agencies are making toward the elimination of its barriers.

Of course, during this continual process of barrier elimination, agencies should adjust the barrier removal plan as necessary, based on diligent monitoring of its progress.

Continuous monitoring and adjustment will ensure the effectiveness of the plan itself, both in goal and execution. This will serve to determine the effectiveness of the action plan and objectives.

Adjust Plan Where Necessary

For example: An agency's ratio of employees with targeted disabilities is less than half the government average. The agency's plan lists as an objective an increase in applications from individuals with targeted disabilities. One action item requires job announcements to be mailed to Vocational Rehabilitation offices. However, after three months of doing so, the agency discovered that it was not receiving enough applications of college graduates who had targeted disabilities. Most of the agency's positions require a college education. The agency needs a new action item directing the recruitment office to create and use a larger list of sources of

college graduates who have targeted disabilities. If the agency does not do a re-assessment, it could end the year with no increase in the number of applications received from qualified individuals with targeted disabilities.

Significantly, the continuous evaluation and adjustment of the agency's plan serves as a useful evaluation tool for determining the effectiveness of managers and EEO personnel, as highlighted in essential elements one, two and three of the model EEO program.

- Were objectives instituted in a timely manner?
- Were managers responsible for action items receptive to performing items?

Remember, the self-assessment process involves all steps described in the management directive, including barrier identification and removal, and creating a model EEO office and agency. These steps are inextricably linked to one another. Part of having a model EEO office is having an effective system to be proactive, and conducting barrier analysis. Self-assessment will bring agencies closer to meeting the goal of making the federal government a model workplace. Putting all the pieces together, as delineated in EEO MD-715, is a positive step forward for each federal agency.

Using these instructions earnestly and effectively will create an environment in your agency that encourages high performance. A top-quality federal workforce working in an environment where each employee has the freedom to compete will deliver mission results competently and ensure our nation's continued growth and prosperity.

Analyzing Employment Processes

The following is a list of employment processes where barriers typically arise, followed by a list of questions to be answered during a thorough investigation into each process. Agencies should consider this list a minimum starting point and feel free to add to the list of processes and questions, as the need arises.

Recruitment (See Tables A1, B1, A2, B2, A7, B7, A8, B8)

1. What opportunities are anticipated for external/internal hiring for the agency?
2. What criteria are considered in the development of the agency recruitment plan? With respect to the agency's SES candidacy program and/or succession planning, what criteria are considered?
3. Are disabilities, and targeted disabilities in particular, considered in the plan? If yes, how?
4. What is the applicant rate of persons with disabilities, including individuals with targeted disabilities? Are applications being received at the expected rate?
5. Do present recruitment sources yield the expected rate of qualified applicants of all racial and national origin groups, and both sexes, who meet organizational needs?
6. When were qualification requirements last examined to determine whether they are still current and necessary?
7. Does recruitment literature reflect the agency's desire to reach all segments of the potential workforce? How so?
8. Do/did EEO officials participate in the development of the recruitment plan?
9. Do/did EEO officials provide technical assistance to the personnel office and monitor recruitment efforts?

10. When paid advertising is used for recruitment or institutional purposes, is a wide variety of media with diverse readership included?
11. Does management make itself available to community, civic, and other groups interested in enhancing equal employment opportunity? If yes, how?
12. Does the agency provide opportunities and services to the community such as cooperative education programs and shared use of training facilities?
13. Does the agency participate in community career information programs, conferences, and occupational study projects? Provide examples.
14. Has the agency examined means for expanding worker-trainee placement?
15. Do current plans call for maximum participation in the worker-trainee opportunities program, or other such programs, with particular emphasis on the identification of developmental positions?
16. By what methods are applicants invited to apply? If the agency uses an on-line application product, does it comply with the Rehabilitation Act? Was the product reviewed by both the agency's information technology office for technical sufficiency and the agency's legal counsel for legal sufficiency? When?

Hiring and Placement (See Tables A3, B3, A4, B4, A5, B5, A6, B6, A, B7, A8, B8)

1. Are workforce participation rates substantially similar to those rates in the relevant civilian labor force (RCLF)?
2. Where there are variations, in what specific area(s) is the variation occurring (e.g., particular job category, particular grade, particular installation, etc.)?
3. What feeder groups affect the categories identified above? Are those feeder groups substantially similar to the RCLF benchmark? If not, determine where the disparity is occurring. If yes, determine whether a disparity appears between feeder group population and next category.
4. Is the selection process reviewed periodically to ensure equal treatment regardless of race, sex, national origin, disability or EEO participation?
5. Are selection panels used? If so, how is it determined who will serve on the panels?
6. Is the EEO office consulted when it is determined who will serve on a selection panel? Is the EEO office consulted with respect to selections for SES candidacy programs and succession planning?
7. Are selection requirements and procedures job-related and consistent with business necessity? Do they include unnecessary barriers to full utilization of population? If barriers are job-related and consistent with business necessity, can the effect of the barrier be nonetheless minimized?
8. Are there a substantial number of EEO complaints where non-selection(s) is identified as the issue? If yes, is there an identifiable trend (e.g., particular group, supervisor, or installation)? What can be done to address this trend (e.g., train selecting officials, train employees, improve

communication of the selection criteria or the application process)?

9. Has the union, the ombudsman, an employee advocacy group, special emphasis group, or any other interested stake holder group expressed concern regarding recent selections? If yes, what were the specific concerns raised and what is the agency's response and plan of action?

Employee Development and Training Opportunities (See Tables A12, B12)

1. What developmental opportunities were made available during the last fiscal year (i.e., training, details, etc.)? Which of these opportunities provided competency experience required for advancement to the SES level?
2. What is the workforce distribution of the participants for identified opportunities for the last fiscal year (grade, occupation, installation, race, sex, national origin, disability)?
3. Were the opportunities provided in the last fiscal year balanced across all parts of the workforce? If not, which group(s) were less utilized than others, and why?
4. How are participants for identified opportunities selected?
5. Is the selection process reviewed periodically to ensure equal treatment regardless of race, sex, national origin or disability?
6. How are training/developmental opportunity selection panels comprised, if at all?
7. Is EEO consulted when training/developmental opportunity selection panels are composed?
8. Are systems for tracking information on employee skills and training in operation?

9. Has a survey of current skills and training of the agency's workforce been conducted to determine the availability of employees from the entire workforce that have skills required to meet agency mission needs?
10. Are efforts being made to ensure that appropriate training and other developmental opportunities are available to employees at all grade levels, including management and executive training, and in all occupational areas, without regard to race, national origin, sex or disability?
11. Are internal selection requirements and procedures for developmental opportunities job-related and consistent with business necessity? Do they include unnecessary barriers to full utilization of skills and training? If barriers are job-related and consistent with business necessity, can the effect of the barrier be minimized?
12. Are there a substantial number of EEO complaints wherein developmental opportunities, such as denial of training or non-selection for a detail, is identified as the issue? If yes, is there an identifiable trend e.g., particular group, supervisor, or installation? What can be done to address this trend (objective criteria, better communication of process and expectations)?
13. Has the union, the ombudsman, an employee advocacy group, special emphasis group, or any other interested stake holder expressed concern regarding the distribution of opportunities? If yes, what were the specific concerns raised and what is the agency's response and plan of action?

**Promotions and Other Internal Selections
(See Tables A9, B9, A10, B10, A11, B11B)**

1. Of the promotions that occurred in the last fiscal year, were the selections reflective of the pool of eligible candidates? Also, if the pool of eligible candidates did not include representatives from particular groups, was consideration given to including external candidates?
2. Where there are variations, in what specific area(s) are the variations occurring (e.g., particular job category, particular grade, particular installation, etc.)?
3. Are variations occurring in management, executive or SES selections? Are such selections meeting the needs of the agency's succession plans?
4. What feeder groups were available for each identified promotion? Are those feeder groups substantially similar to the RCLF benchmark? If not, determine where the disparity is occurring (e.g., recruitment, selection, promotion, etc.). If yes, determine why the disparity appears between feeder group population and promotion selectees.
5. Is the promotion/selection process reviewed periodically to ensure equal treatment regardless of race, sex, national origin, or disability?
6. For career-ladder promotions, is there a difference in time with which one or more groups achieve their full grade potential as compared to other groups (i.e., is the time-in-grade higher for a particular group)?
7. Are employees achieving full performance for their occupation at similar rates with others of different race, national origin, sex or disability?
8. How are promotion selection panels composed when they are used?

9. Is EEO consulted when selection panels are composed?
10. Are internal promotion qualification requirements and procedures job-related and consistent with business necessity? Do they include unnecessary barriers to full utilization of skills and training? If barriers are job-related and consistent with business necessity, can the effect of the barrier be minimized nonetheless?
11. Are there a number of EEO complaints where non-promotion is identified as the issue? If yes, is there an identifiable trend (e.g., particular group, supervisor, or installation)? What can be done to address this trend (train selecting officials, train employees, better communication of process and expectations)?

Award Distribution (See Table A13, B13)

1. What is the workforce distribution of award recipients for the last fiscal year (grade, occupation, installation, race, sex, national origin, disability, etc.)?
2. Of the awards given in the last fiscal year, was the rate of success substantially similar for all parts of the population? If not, which group(s) enjoyed less success than others, and why?
3. How are award recipients selected? Are there objective criteria available for selecting officials?
4. Is the awards selection process reviewed periodically to ensure equal treatment regardless of race, religion, sex, national origin, disability or EEO participation?
5. Are award selection panels utilized and, if so, how is it determined who will serve on a panel?
6. Is EEO consulted when award selection panels are composed?

7. Are there a substantial number of EEO complaints where award non-selection is identified as the issue? If yes, is there an identifiable trend (e.g., particular group, supervisor, or installation)? What can be done to address this trend (objective criteria, better communication of process and expectations)?
8. Has the union, the ombudsman, an employee advocacy group, special emphasis group, or any other interested stakeholder expressed concern regarding the distribution of awards? If yes, what were the specific concerns raised and what is the agency's response?

Discipline (See Table A14, B14)

1. What is the workforce distribution of discipline, including removal, during the last fiscal year (grade, occupation, installation, race, sex, national origin, disability, EEO participation, types of discipline, etc.)?
2. Of the disciplinary actions based on conduct taken in the last fiscal year, was the rate of receipt substantially similar for all parts of the population? If not, which group(s) received more or harsher discipline than the others, and why?
3. Of the disciplinary actions based on performance taken in the last fiscal year, was the rate of such actions substantially similar for all parts of the population? If not, which group(s) received more or harsher discipline than the others, and why?
4. Where there is a difference in rates based on conduct, does the difference occur at the proposal stage, the implementation stage, or in both (i.e., was one group recommended for disciplinary action at a higher rate than all other groups; is that group's conduct subjected to a higher level of scrutiny; do others engage in similar misconduct without having disciplinary actions proposed or taken against them)?

5. Where there is a difference in rates based on performance, does the difference occur at the proposal stage, the implementation stage, or in both (i.e., did the individuals in the group with higher occurrence rates receive sufficient training, assignments, and supervisory assistance; were they given opportunities to improve compared to opportunities given to other employees; what information can be gleaned from prior performance appraisals; were the recommending decision/performance appraisals based on predetermined objective criteria and/or were they highly subjective; was the affected group held to a higher standard of demonstrated performance than other employees and/or subjected to stricter scrutiny of their work; did performance appraisal and/or recommendation narratives disclose that recommending and/or rating official held stereotyped or otherwise negative views of the affected group)?
6. How are disciplinary actions determined?
7. Are there objective criteria used (i.e., table of offenses with corresponding appropriate discipline)? If disciplinary decisions (type and timing) are left to the discretion of individual supervisors, why?
8. Is the disciplinary table of offenses reviewed periodically to ensure equal treatment regardless of race, religion, sex, national origin, disability or EEO participation (i.e., is there something that typically occurs only at one installation, such that disciplinary action for this issue will have a particularly negative effect on one group)?
9. Is the EEO office consulted when developing or modifying the table of offenses?
10. Are there a substantial number of EEO complaints where discipline, including removal, is identified as the issue? If yes, is there an identifiable trend (i.e., particular

group, supervisor, or installation)? What can be done to address this trend (objective criteria, better communication of process and expectations)?

11. Has the union, the ombudsman, an employee advocacy group, special emphasis group, or any other interested stake holder expressed concern regarding the rate of discipline for a particular group? If yes, what were the specific concerns raised and what is the agency's response?

Separations (See Tables A14, B14)

1. What is the workforce distribution of separations, including disability retirement, for the last fiscal year (grade, occupation, installation, race, sex, national origin, disability, EEO participation, etc.)?
2. Did a higher percentage of a particular group separate from the agency, or from a particular installation?
3. Were exit interviews conducted? If not, why not? If yes, were any trends identified (e.g., leaving: because of harassment, perceived barriers to advancement for certain groups, for more money, because of atmosphere of agency, because of particular supervisor, for personal reasons, etc.)?
4. Where a trend emerges in the above analysis, what is the agency's response to address the issue now, as well as prevent it from occurring in the future?
5. Are efforts made to ensure that separations are conducted fairly and in a non-discriminatory manner? If yes, what are those efforts?
6. Are reductions-in-force conducted in a non-discriminatory manner? What procedures are in place to ensure this?
7. Are there a substantial number of EEO complaints where constructive discharge is identified as the issue? If yes, is there an identifiable trend (i.e., particular group, supervisor, or installation)? What can be

done to address this trend (implementation of EEO policies, managers held accountable for implementing policies, etc.)?

8. Has the union, the ombudsman, an employee advocacy group, special emphasis group, or any other interested stake holder expressed concern regarding the rate of separations for a particular group? If yes, what were the specific concerns raised and what is the agency's response?

An Introduction to the New Nine Job Category Titles

For the first time EEOC is requiring agencies to report their workforce data by aggregating it into nine employment categories. These categories are more consistent with those EEOC uses in private sector enforcement and will permit better analysis of trends in the federal workplace than previous categories used.

The nine job category titles are:

Officials and managers - Occupations requiring administrative and managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: officials, executives, middle management, plant managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.

Professionals - Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: accountants and auditors, airplane pilots and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, surveyors and kindred workers.

Technicians - Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through 2 years of post high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed, practical or vocational nurses, photographers, radio operators, scientific assistants, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.

Sales - Occupations engaging wholly or primarily in direct selling. Includes: advertising agents and sales workers, insurance agents and brokers, real estate agents and brokers, stock and bond sales workers, demonstrators, sales workers and sales clerks, grocery clerks, and cashiers/checkers, and kindred workers.

Office and clerical - Includes all clerical-type work regard-less of level of difficulty, where the activities are predominantly nonmanual though some manual work not directly involved with altering or transporting the products is included. Includes: bookkeepers, collectors (bills and accounts), messengers and office helpers, office machine operators (including computer), shipping and receiving clerks, stenographers, typists and secretaries, telegraph and telephone operators, legal assistants, and kindred workers.

Craft Workers (skilled) - Manual workers of relatively high skill level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes: the building trades, hourly paid supervisors and lead operators who are not members of management, mechanics and repairers, skilled machining occupations, compositors and typesetters, electricians, engravers, painters (construction and maintenance), motion picture projectionists, pattern and model makers, stationary engineers, tailors, arts occupations, hand painters, coaters, bakers, decorating occupations, and kindred workers.

Operatives (semiskilled) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes: apprentices (auto mechanics, plumbers, bricklayers, carpenters, electricians, machinists, mechanics, building trades, metalworking trades, printing trades, etc.), operatives, attendants (auto service and parking), blasters, chauffeurs, delivery workers, sewers and stitchers, dryers, furnace workers, heaters, laundry and dry cleaning operatives, milliners, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (manufactured articles), photographic process workers, truck and tractor drivers, knitting, looping, taping and weaving machine operators, welders and flame cutters, electrical and electronic equipment assemblers, butchers and meat cutters, inspectors, testers and graders, hand packers and packagers, and kindred workers.

Laborers (unskilled) - Workers in manual occupations which generally require no special training who perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes: garage laborers, car washers and greasers, grounds keepers and gardeners, farm workers, stevedores, wood choppers, laborers performing lifting, digging, mixing, loading and pulling operations, and kindred workers.

Service workers - Workers in both protective and non-protective service occupations. Includes: attendants (hospital and other institutions, professional and personal service, including nurses aides, and orderlies), barbers, char workers and cleaners, cooks, counter and fountain workers, elevator operators, firefighters and fire protection, guards, door-keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, amusement and recreation facilities attendants, guides, ushers, public transportation attendants, and kindred workers.

Section III

Reporting Requirements and Line-By-Line Instructions

Instructions to Federal Agencies for EEO MD-715

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Reporting Requirements

General

This section contains an overview of EEOC FORM 715-01, which must be submitted to EEOC on an annual basis, followed by detailed, line-by-line, instructions on how to complete it.

EEOC FORM 715-01 prescribes the standard format for federal agencies' use in reporting progress in establishing and maintaining continuous programs of equal employment opportunity. Agencies are reminded that the component parts of EEOC FORM 715-01 are designed to collect federal agency, government-wide information in a consistent format. Agencies should submit EEOC FORM 715-01 as prescribed by the EEOC and refrain from modifying any part of it.

Modifications to Race and National Origin Categories and the Need to Re-Survey

Identification of Employees: If an applicant does not voluntarily provide the requested information as to his/her race, national origin, and sex, the agency shall advise the employee of the importance of the data and of the agency's obligation to report it. If the employee still refuses to provide the information, the agency must make visual identification and inform the employee of the data it will be reporting. 29 C.F.R. § 1614.601(b).

Asian Employees: Before providing information about their employees agencies should re-survey their workforce for those employees who identify themselves as Asians and for those employees who had not previously identified themselves at all.

Employees Identifying Themselves as Being of Two or More Races: Beginning in 2004, agencies should begin to implement the collection of information on new employees who identify themselves as being of two or more races. Agencies should ask any new hires or accessions to identify if they are of two or more races.

Disability: Agencies are strongly encouraged to periodically re-survey their employees to accurately capture current disability status.

EEO MD-715 Reporting Format and Due Date

The requirement to file an EEOC FORM 715-01 applies to all covered federal departments and agencies. The heads of all covered departments and agencies are responsible for preparing and submitting department/agency-wide annual fiscal year status reports. EEOC FORM 715-01 is due by January 31st following the end of the fiscal year that is being reported.

Consistent with Section 717 of Title VII of the Civil Rights Act, EEOC requires operating components and field installations with 500 or more employees to develop separate plans in accordance with these instructions.

Overview of the EEOC FORM 715-01 and Related Documentation

The **EEOC FORM 715-01** is divided into ten parts, designated PART A through PART J.

PARTS A through C require agencies to provide information that identifies the reporting agency or subordinate level reporting component, the total number of employees, and the agency officials responsible for the oversight of the agency's EEO Programs. All non-intermittent or non-seasonal employees, except foreign nationals, will be reported.

All covered agencies, regardless of size, are required to submit PARTS A through C.

PART D requires agencies and subordinate level reporting components to identify all units (i.e., regions, field installations, etc.), that are included in the subject report.

Depending on the size and structure of the reporting agency or subordinate level reporting component, not all agencies will be required to complete PART D. See the chart on page 3 of this section.

PART E, the Executive Summary, requires agencies to provide a succinct narrative of the status of the agency's overall EEO program, discuss any problems discovered during its self-assessment, report on the barriers identified as a result of its barrier analyses, and briefly outline what activities will be undertaken to address any program deficiencies and plans to eliminate the identified barriers.

All covered agencies, regardless of size, are required to submit PART E.

PART F requires the Principal EEO Director/Official for the reporting agency or subordinate level reporting component to certify that the agency has completed an annual self-assessment of its EEO Program against the EEO MD-715 essential elements and conducted comprehensive barrier analyses.

All covered agencies, regardless of size, are required to submit PART F.

PART G is the Self-Assessment Checklist. When filing the annual status report, the agency may choose to submit the Self-Assessment Checklist (included in Section I of this manual) as PART G of the report. As noted in Section I, the Self-Assessment Checklist provides agencies with a comprehensive listing of the kinds of agency documents and systems that should be in place in order to operate a model EEO program.

Although submission is voluntary, all covered agencies, regardless of size, are required to complete the Self-Assessment Checklist as PART G and retain a copy for EEOC review upon request.

PART H, EEO Plan For Attaining the Essential Elements of A Model EEO Program, requires agencies to report specific plans of action aimed at correcting those facets of their EEO Program that are not fully compliant with the essential elements prescribed in EEO MD-715. Part H can be completed only after the agency has finished assessing its overall EEO program and filled out the Self-Assessment Checklist.

Covered agencies that employ 500 or more employees in permanent full-time/part-time (FT/PT) appointments are required to submit PART H.

PART I, EEO Plan To Eliminate Identified Barrier, requires agencies to report specific plans of action aimed at removing barriers from their policies, procedures, or practices that limit or restrict free and open competition of all groups to participate in employment opportunities and benefits.

Covered agencies that employ 500 or more employees in permanent FT/PT appointments are required to submit PART I.

PART J, The Special Program Plan for the Recruitment, Hiring and Advancement of Individuals with Targeted Disabilities is required for all covered agencies that employ 1,000 or more employees in permanent FT/PT appointments. PART J requires reporting agencies to examine employment trends and participation rates of persons with reportable and targeted disabilities in agency programs.

Agencies employing fewer than 1,000 employees in permanent FT/PT appointments are not required to submit PART J. However, such agencies must maintain any documentation regarding the establishment and maintenance of their Section 501 program as is necessary to permit the Commission to verify compliance during an EEOC program evaluation.

What Must Be Filed?

For Fiscal Year 2004, each covered entity must file on or before January 31, 2005, a Federal Agency Annual EEO Program Status Report (EEOC FORM 715-01) with the Commission for the Commission's review and approval, consistent with 29 C.F.R. § 1614.602(c). The initial EEO Plan will take effect on October 1, 2004.

Thereafter, on an annual basis, each covered agency must file a Federal Agency Annual EEO Program Status Report (based on workforce statistics covering the prior fiscal year (October 1

to September 30) with the EEOC on or before January 31st following the end of the fiscal year that is being reported.

Status reports must include the annual certification that each agency has a continuing program of equal

employment opportunity that is consistent with the requirements outlined in EEO-MD-715 and report on activities undertaken and accomplishments made in implementing its EEO Plans.

Consistent with the requirements at 29 C.F.R. §1614.601, the reports shall be in the format prescribed by the Commission.

Quick Guide To What Must Be Filed Annually (See also quick-check on the next page)

IF you are AND ...	THEN, you must file ...	WITH ...
A covered agency	you employ 1,000 or more employees in permanent FT/PT appointments	FORM 715-01 PARTS A through F and PARTS H through J. Workforce Data Tables 1-14	EEOC, OFO
A covered agency	you employ 500 or more (but fewer than 1,000) employees in permanent FT/PT appointments	FORM 715-01 PARTS A through F and PARTS H through I. Workforce Data Tables 1-7	
A covered agency	you employ 499 or fewer employees in permanent FT/PT appointments.	FORMS 715-01 PARTS A through F. Workforce Data Tables 1-5	
A 2 nd level reporting component	you employ 1,000 or more employees in permanent FT/PT appointments	FORM 715-01 PARTS A through F and PARTS H through J.	Your agency HQ for inclusion in agency-wide report. File a copy with EEOC.
	you employ 500 or more employees in permanent FT/PT appointments	FORM 715-01 PARTS A through F, H.	Your agency HQ for inclusion in agency-wide report. Maintain a copy.
A 3 rd or 4 th level reporting component	you employ 500 or more employees in permanent FT/PT appointments	FORM 715-01 PARTS A through F and PARTS H through I.	Your next higher reporting level for inclusion in its report. Maintain a copy.

Quick-check:

EEOC FORMS and Documents Included With This Report			
<ul style="list-style-type: none"> * Executive Summary [FORM 715-01 PART E], that includes: <ul style="list-style-type: none"> ☐ Brief paragraph describing the agency's mission and mission-related functions ☐ Summary of results of agency's annual self-assessment against MD-715 "Essential Elements" ☐ Summary of Analysis of Work Force Profiles including net change analysis and comparison to RCLF ☐ Summary of EEO Plan objectives to attain essential element(s) of a model EEO program or to eliminate identified barriers ☐ Summary of EEO Plan action items implemented or accomplished 		* Annual Self-Assessment Checklist Against Essential Elements [FORM 715-01 PART G] [FILING WITH EEOC IS OPTIONAL.]	
		* EEO Plan For Attaining Essential Elements of a Model EEO Program [FORM 715-01 PART H] for each programmatic essential element requiring improvement	
		* EEO Plan To Eliminate Identified Barrier [FORM 715-01 PART I] for each identified barrier	
		* Special Recruitment Program/Plan for Individuals With Targeted Disabilities for agencies with 1,000 or more employees [FORM 715-01 PART J]	
		* Copy of Work Force Data Tables as necessary to support Executive Summary and/or EEO Plans	
		* Copy of data from 462 Report as necessary to support action items related to Complaint Processing Program deficiencies, ADR effectiveness, or other compliance issues.	
* Statement of Establishment of Continuing Equal Employment Opportunity Programs [FORM 715-01 PART F]		* Copy of Facility Accessibility Survey results as necessary to support EEO Action Plan for building renovation projects	
* Copies of relevant EEO Policy Statement(s) and/or excerpts from revisions made to EEO Policy Statements		* Organizational Chart	

Where To File

Annual status reports should be mailed to:

Equal Employment Opportunity Commission
Office of Federal Operations
P.O. Box 19848
Washington, D.C. 20036

Or hand-delivered to:

Equal Employment Opportunity Commission
Office of Federal Operations
1801 L Street, N.W.
Washington, D.C. 20507

Reports under 30 pages may be faxed to:

(202) 663-4388

EEOC Contact Point

Inquiries and correspondence concerning federal affirmative programs of equal employment opportunity should be directed to the Office of Federal Operations which oversees federal agency equal employment opportunity programs for compliance and administers EEO MD-715.

Correspondence may be mailed to:

Equal Employment Opportunity Commission
Office of Federal Operations
P.O. Box 19848
Washington, D.C. 20036

Telephone: (202) 663-4599
Facsimile: (202) 663-4388

Line-by-line Instructions for EEOC FORM 715-01

PART A

Department or Agency Identifying Information

Description: Part A identifies the reporting agency or agency component that is the subject of the report. This part of the EEOC FORM 715-01 requires information about the organizational and geographic location of the reporting agency or agency component.

Reporting Change To Note →

Each reporting agency or agency component will be required to report the Central Personnel Data File (CPDF) codes compiled by the Office of Personnel Management and the

Federal Information Processing Standards (FIPS) codes compiled by the Office of Management and Budget that serve to locate agency-specific personnel/work force information.

Line I. Agency

Enter full name of the Department or Agency. This line identifies all agencies that must submit an agency-wide report, regardless of their size. Do not use acronyms or abbreviated names. The agency-wide report that is filed with the EEOC will only have Line I completed.

Part A Department or Agency Identifying Information	I. Peace Corps of the United States
	I.a.
	I.b.
	I.c.

Line I.a. 2nd level reporting component

Enter the name of the 2nd level reporting component that is directly under the headquarters level on line I.a. Second level reports must be submitted to headquarters for inclusion in the agency-wide report. Second level organizations

with 1000 or more employees must also file a copy with the EEOC.

For Departments, the 2nd level components might be separate bureaus. For example, the Marshal Service, Drug Enforcement Administration, and Federal Bureau of Investigation are 2nd level components of the Department of Justice.

For independent and executive branch agencies, the 2nd level components might be identified as a region, district or field office.

Part A Department or Agency Identifying Information	I. U.S. Environmental Protection Agency
	I.a. Mountains & Plains - Region 8
	I.b.
	I.c.

For reporting purposes, departments and independent agencies of the Department of Defense are to report as 2nd level reporting components even though they do not submit their reports through the DOD Office of the Secretary of Defense.

Part A Department or Agency Identifying Information	I. U.S. Department of the Defense
	I.a. Department of the Air Force
	I.b.
	I.c.

Line I.b. 3rd level reporting component

Enter the name of the agency sub-component that is directly under the 2nd level reporting component and that must submit a report for inclusion in the component-wide report.

For departments, the 3rd level components might be regional offices of 2nd level components. For example, the Denver and Philadelphia Mints are 3rd level components of the Department of the Treasury because they are directly under the Bureau

of the Mint which is a 2nd level component of the Department of the Treasury.

For independent agencies, the 3rd level components might be identified as installations, laboratories, or service centers. Many independent agencies will not have a 3rd level.

Part A	I. U.S. Department of the Treasury
Department or Agency Identifying Information	I.a. U.S. Bureau of the Mint
	I.b. Denver Mint
	I.c.

Line I.c. 4th level reporting component

Enter the name of any agency sub-component that is directly under the 3rd level reporting component and that must submit a report for inclusion in the 3rd level-wide report. (The 3rd level reporting component also will be included in the 2nd level-wide report, just as the 2nd level reporting component will be included in the agency-wide report.)

Part A	I. U.S. Department of the Treasury
Department or Agency Identifying Information	I.a. Internal Revenue Service
	I.b. IRS Service Center - Andover, MA
	I.c. IRS Tax-Payer Assistance Center, Hartford, CT

Line 2. Address

Enter the street address or post office box for the agency or reporting component covered by the report.

Line 3. City, State, Zip Code

Enter the city, state, and zip code for the agency or reporting component covered by the report.

Line 4. CPDF Code

Enter the agency Central Personnel Data File (CPDF) Code.

What is a CPDF code? It is the code which the EEOC utilizes to access personnel statistics from the annual CPDF download provided by the U.S. Office of Personnel Management. The information is based upon federal agency SF-50 transactions, or what can be termed as “personnel actions.” Each covered agency has an “Agency Code” which appears in block 47 of the SF-50. CPDF codes consist of two letters for the agency and those two letters plus at least two numerals for agency subcomponents. For example, the CPDF code for the Department of Justice is **DJ**. The code for the Marshal Service is **DJ08**.

For assistance in identifying these codes, agencies may contact their human resources/personnel offices. For information about the CPDF in general and federal employment statistics, see the OPM website - <http://www.opm.gov/feddata/html>.

Line 5. FIPS Code(s)

Enter the reporting component Federal Information Processing Standards (FIPS) code, or codes, as appropriate.

What is a FIPS code? It is a code published by the Office of Management and Budget which identifies the geographic area where most of the employees and applicants reside. If an agency's region covers more than one FIPS, identification of the specific codes will assist the agency and EEOC in assuring that the agency is using the appropriate data.

For example, Region I0 in one agency might cover the states of Idaho, Oregon, Washington, and Alaska, but for another agency Region I0 covers the states of Idaho, Oregon, Montana, and Wyoming.

FIPS codes generally consist of five numerals. For assistance in identifying these codes, agencies may contact their human resources/personnel offices.

PART B

Total Employment

Description: Part B requires the agency to provide a break-out of information about its total workforce.

Agencies need to assess the adequacy of the resources that they have allocated to the EEO program in order to ensure an effective complaint program and to protect employees' right to a workplace free from discrimination. Accordingly, an agency must consider the total workforce (or segments thereof) that participate in various EEO programs.

**Reporting
Change To
Note →**

Line 1. Total number of permanent full-time and part-time employees.

For purposes of agency affirmative programs of equal employment opportunity under Section 717, agencies should count all permanent employees -- that is, any member of the permanent workforce serving under either a competitive or excepted appointment, including permanent employees who work full-time, part-time, or intermittent work schedules. For these purposes, "permanent employees" include all employees serving under permanent accession codes.

Some examples of accession (or new hire) codes and corresponding nature of action descriptions that often appear in blocks 5-A and 5-B of SF-50 transactions are shown below:

Accessions Codes - Permanent Appointments	
Code	Nature of Action
100	Career Appointment
101	Career Conditional Appointment
130	Transfer
140	Reinstatement - Career Appointment
170	Excepted Appointment [Schedule A, B, or C]
500	Conversion to Career Appointment
501	Conversion to Career Conditional Appointment

570	Conversion to Excepted Appointment [Schedule A, B, or C]
etc.	

Line 2. Total number of temporary employees.

Agencies should also track separately the representation of each EEO group in temporary jobs at each grade level. For these purposes, temporary workers are those who have been employed under temporary appointing authorities at any time during the fiscal year being analyzed.

Because an agency's EEO program covers temporary employees, who have a right to a workplace that is free of discrimination and to access to both the agency complaint program and the Alternative Dispute Resolution (ADR) Program, the number of temporary employees must be considered in the planning and allocation of the agency's EEO Program to ensure that sufficient resources are available.

Some examples of temporary accession codes that may appear in blocks 5-A and 5-B of SF-50 are shown in the following chart:

Accessions Codes - Temporary Appointments	
Code	Nature of Action
108	Temporary Appointment NTE [under a direct hire authority]
115	Temporary Appointment NTE (date)
117	Summer Appointment NTE (date)
171	Excepted Appointment NTE (date)

Line 3. Non-appropriated fund employees.

Non-appropriated fund employees in the workforce are also entitled to access the agency's complaint program, utilize the ADR program, and have a workplace that is free of discrimination. Non-appropriated fund employees must be included in the planning and allocation of EEO Program

resources to ensure that sufficient resources are available.

The EEOC utilizes the Office of Personnel Management's CPDF codes to monitor federal government employment. However, non-appropriated fund employees in Defense Activities, Commissioned Corps employees, and Foreign Nationals employed outside of the United States or its territories are not included in the CPDF. For detail on CPDF coverage see <http://www.opm.gov/feddata/demograp>.

Line 4. Total Employment.

Add PART B lines 1 through 3.

PART C

Agency Official(s) Responsible For Oversight of EEO Program(s)

Description: Part C identifies the agency officials at the reporting agency or agency component that is the subject of the report who are responsible for the oversight and administration of the EEO Program.

Agency EEO complaint staff personnel, such as EEO Counselors and EEO Investigators, are not listed in this part as they are included in the 462 report.

Line 1. Head of Agency

Enter the name and official title of the head of the department or agency. For example, the head of the EEOC is the "Chair," the head of a department might be a "Secretary" or "Administrator" of [Name of Department], and the head of an independent agency may have a unique title, such as "The Archivist of the United States."

Line 2. Agency Head Designee.

Enter the name and official title of the agency official who has been delegated authority by the agency head under 29 C.F.R. § 1614.607.

For a department-wide report, such a delegation might be made to a Deputy Secretary. In an independent agency-wide report, the delegation could be made to the chief operating officer.

For a subordinate-level component report, the component head should have delegated authority for the EEO program in his/her respective jurisdiction and be listed on Line 2.

Line 3. Principal EEO Director/Official.

Enter the name and official title of the agency official who has been designated by the agency head under 29 C.F.R. § 1614.102(b)(4) to carry out the EEO functions described in the regulations.

In the Part 1614 regulations, the title for this official is the EEO Director. Agencies have a variety of titles for the Principal EEO Director/Official, ranging from "EEO Director" to "Director of Civil Rights and Work Force Diversity." No matter what title an agency chooses, the official designated the overall responsibility for the day-to-day operation and coordination of Section 717 and Section 501 programs of equal employment opportunity should be listed on line 3. For a component report, the component EEO Manager or Official should be listed on Line 3.

Lines 4, 5, and 6. Other EEO Program Officials.

Enter the name(s) and official title(s) of the agency official(s) delegated authority for the day-to-day operation of various EEO/AE programs under 29 C.F.R. § 1614.102(b)(4).

Line 7. Other Responsible EEO Staff.

Enter the names and official titles of any other agency official delegated responsibility for the day-to-day operation of an EEO or EEO-related program or function. This could include, but is not limited to, the ADR Coordinator, Special Emphasis Program Manager(s), Selective Placement Coordinator (if different from the Section 501 Program Official), or the agency official responsible for making final decisions on requests for reasonable accommodations.

PART D

List of Subordinate Components Covered in This Report

Description: Part D identifies all of the subordinate units that are included in the agency or agency component that is the subject of the report. Those identified subordinate units may or may not file separate reports to the EEOC under EEO MD-715, as indicated on the chart on page 3 of this section.

**Reporting
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← Note**

The EEOC anticipates a reduction in the number of pages that agencies will need to submit with their reports because the EEOC can access work force data directly from the OPM's CPDF. For example, the city/state location of Watervliet, NY is easier to locate in the CPDF database if the FIPS is identified. Cross referencing the FIPS with the census CLF tables should also be more expeditious.

Subordinate Component and Location (City/State)

List the names and locations for each subordinate unit included in the report. For example, a department-wide report would fill in only Line I of Part A then list each 2nd level reporting component (and the component's CDPF and FIPS codes) in PART D.

Part A Department or Agency Identifying Information	I. U.S. Department of Government	
	I.a.	
	I.b.	
	I.c.	
Part D List of Subordinate Components Covered in This Report	Bureau of Investigation	DG02/11-001
	Bureau of Government Service	DG03/11-001
	Government Enforcement	DG06 11-001
	etc.	

For a component-wide submission, Lines I and I.a. of Part A are filled in and Part D lists all the reporting units that are covered in the component-wide report. The example below includes possible worksite FIPS codes for the location of each regional office.

Part A Department or Agency Identifying Information	I. U.S. Department of Government	
	I.a. Bureau of Government Service	
	I.b.	
	I.c.	
Part D List of Subordinate Components Covered in This Report	Central Office Washington, D.C.	DG03 /11-001
	Mid-Atlantic Region Baltimore, MD	DG03/24-510
	North Central Region Kansas City, KS	DG03/20-091
	Northeast Region Philadelphia, PA	DG03/42-101
	South Central Region Dallas, TX	DG03/48-113
	etc.	

A report prepared by a 3rd level reporting component completes Lines I, I.a., and I.b. of Part A and list all of the units in PART D that are covered in its report as depicted below. In the example below, the FIPS for the area office located in Watervliet, NY, is 36-001, the FIPS code for a cluster of federal jobs in the Albany/Schenectady/Troy, NY area.

Part A Department or Agency Identifying Information	I. U.S. Department of Government	
	I.a. Bureau of Government Service	
	I.b. Northeast Region	
	I.c.	
Part D List of Subordinate Components Covered in This Report	Government Area Office Erie, PA	DG03//42-049
	Government Area Office Danbury, CT	DG03/09-001
	Government Area Office Watervliet, NY	DG03/36-001
	etc.	

PART E

Executive Summary

Purpose of the Executive Summary

The purpose of the Executive Summary is to alert all managers and supervisors of

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← Note**

their responsibilities regarding the status of the agency's EEO program. The Executive Summary also provides the reader with a quick and informative review of EEO program administrative deficiencies that will be addressed during the upcoming year as well as the barriers that have been identified.

Content of the Executive Summary

Elements of the Executive Summary as prescribed by PART C of EEO MD-715 include:

- A brief narrative description of the agency's mission and mission-related functions;
- A brief description of strengths and weaknesses of the agency's EEO Programs when evaluated against the essential elements of a model program;
- A brief description of activities undertaken in connection with the annual self-assessment, including the barriers identified for elimination and program deficiencies that require correction; and,
- A brief description of action items and plans to be implemented/accomplished by the agency during the upcoming year.

The Executive Summary should be as short and concise as possible. Extraneous information, such as a complete iteration of the agency's strategic plan, should not be included in the Executive Summary.

Remember that the Executive Summary is intended to be an introductory summary which catches the attention of the agency's top managers and supervisors. This is to ensure their understanding of the agency's overall EEO program direction and of their expected contributions necessary for the agency to become a Model Employer.

Instructions for completing PART E

The Executive Summary can be written only after all the data is completed and analyzed, and the agency has identified barriers and plans for addressing the barriers.

On page 1, and in the header of page 2 of EEOC FORM 715-01 PART E, the report preparer will replace **[Insert the Name of Agency or Reporting Component]** with the agency name that appears on Line 1 of PART A of the EEOC FORM 715-01.

The Executive Summary may then be placed on the form, which is designed to expand and self-paginate as necessary to accommodate the narrative. While brevity is desired, agencies should not feel limited in fully describing the results of their self-assessment and plans for achieving a Model EEO Program.

PART F Certification of Establishment of Continuing Program of Equal Employment Opportunity

Enter the name and title of the Principal EEO Official/Director and the name of the agency or reporting component where indicated on the form. The information entered here should match the entries that were made on EEOC FORM 715-01 PART A, Line 1; and EEOC FORM 715-01 PART C, Line 3.

← Data
Check

The Principal EEO Director/Official and the Agency Head (or Designee) should sign and date where indicated on the form.

PART G Agency Self-Assessment Checklist

The Self-Assessment Checklist and the instructions for completing it are set forth in Section I of this manual. The Self-Assessment Checklist may be included as Part G of EEOC FORM 715-01.

Agencies are responsible for maintaining documentation and data relating to their establishment of a Model EEO Program. Such documentation must be available upon request by

the EEOC but should not be submitted with the annual status report.

PART H

EEO Plan For Attaining the Essential Elements of a Model EEO Program

After completing of the Self-Assessment Checklist, agencies will have a clearer picture of what actions it needs to take to become a Model Agency.

For each problem (or cluster of problems) that an agency identifies for correction or improvement, an EEOC FORM 715-01 PART H must be prepared.

Identify the Agency

Insert the name of the agency where indicated on the form. Make copies of the page as appropriate for the number of problems that have been identified.

Statement of Model Program Essential Element Deficiency

For each model program element deficiency, provide a description of the specific condition that exists in the program area being addressed. An example of a deficiency might be: Only 75% of the agency's 3,000 managers and supervisors have received training on the Reasonable Accommodation Procedures.

Objective

For each model program element deficiency described, provide a clear statement of the measurable objective that will resolve/correct the problem. In the previous example of a deficiency, the measurable objective to resolve/correct the problem might be: To train all of the currently untrained managers and supervisors while ensuring that new managers and supervisors are trained simultaneously.

Responsible Official

Enter the Official Title of the agency official who will be responsible for

implementing/overseeing the agency's completion of the objective. For the previous example, the agency may have assigned the objective to the Training Officer.

Date Objective Initiated

Enter the fiscal year report date when the objective was put into place.

Target Date for Completion of Objective

Enter the date by which the agency plans to complete the objective. Objectives can be short-term or long term depending on the simplicity or complexity of the plan.

For instance, in the previous example, and given its current training resources, the agency can reasonably conduct three comprehensive EEO courses per quarter for managers and supervisors (i.e., twelve courses per year, times 35 participants per course or 420 managers/supervisors trained per year).

Since, in the example given, there are 750 current managers/supervisors to train plus an estimated 50 new managers/supervisors each year, the agency may want to plan for a three-year time frame to complete the objective.

Planned Activities Toward Completion of the Objective

Enter the specific activities/actions that will be implemented to complete the objective. The target dates for the activities should lead to the completion date for the objective (i.e., if the target date for the Objective is the last quarter of FY 2005, the target date for one of the planned activities should not be in FY 2006).

Report of Accomplishments and Modifications To Objective

This section is used to report the status of activities undertaken. If an objective is initiated in FY 2003, this section should be completed for the FY 2004 report submission.

PART I

EEO Plan To Eliminate Identified Barrier

Upon completion of its Barrier Analyses, agencies will have identified barriers that are impeding the full realization of equal employment opportunity for all employees and applicants.

For each barrier (or group of barriers) that an agency identifies, an EEOC FORM 715-01 PART I must be prepared.

Identify the Agency

Insert the name of the agency where indicated on the form. Use a separate FORM 715-01 PART H for each of the barriers identified.

Statement of Condition That Raised Flag For A Potential Barrier

Enter a narrative statement that succinctly describes the condition that raised a flag and the source (i.e., workforce data indicator, advocacy group, exit interviews or other survey tool).

Barrier Analysis

Describe the steps taken and the data sources analyzed to determine the cause of the condition.

Statement of Identified Barrier

For each barrier addressed, provide a description of the specific agency policy, procedure or practice that is causing the barrier. These barrier statements should logically flow from the results of the Barrier Analyses.

Objective

For each barrier, provide a clear statement of one or more measurable objectives (such as the implementation of an alternative or revised agency policy, procedure or practice) which will be implemented to correct the undesired condition.

Responsible Official

Enter the Official Title of the agency official who will be responsible for implementing/overseeing the agency's completion of the objective.

Date Objective Initiated

Enter the fiscal year report date when the objective was put into place.

Target Date for Completion of Objective

Enter the date by which the agency plans to complete the objective. Objectives can be short-term or long-term depending on the simplicity or complexity of the plan.

Planned Activities Toward Completion of the Objective

Enter the specific activities/actions that will be implemented to complete the objective. Activities/actions should be designed to directly contribute toward completion of the objective. The target dates for the activities should lead to the completion date for the objective (i.e., if the target date for the Objective is the last quarter of FY 2005, the target date for one of the planned activities should not be in FY 2006).

Report of Accomplishments and Modifications To Objective

This section is used to report the status of activities undertaken. If an objective is initiated in FY 2003, this section should be completed for the FY 2004 report submission.

PART J

Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities

In accordance with Section 501 of the Rehabilitation Act, agencies with 1,000 or more employees are required to maintain a Special Recruitment Program for Individuals With Targeted Disabilities and establish specific goals for the employment and advancement of such individuals. For planning and

goal setting purposes, targeted disabilities may be considered as a group.

EEOC FORM 715-01 PART J is designed for agencies to report the changes in the permanent workforce to determine if progress is being made in the participation rate of individuals with disabilities, including specifically those with targeted disabilities.

Second level reporting components having 1,000 or more permanent FT/PT employees should use this form for filing with respective agency headquarters for inclusion in the agency-wide report.

All other subordinate reporting components should complete EEOC FORM 715-01 PART J relative to their responsibilities to establish and maintain local disability programs that implement the objectives of the agency-wide program or initiatives on individuals with disabilities, including specifically those with targeted disabilities.

PART I

Department or Agency Information

Line I. Agency

Enter the full name of the Department or Agency. The information entered here should match the entry that was made on EEOC FORM 715-01 PART - A, Line I. An agency must file EEOC FORM 715-01 - PART J with the EEOC if the total number of permanent employees from Workforce Data Table I.a. will be 1,000 or greater.

← Data Check

All agencies with 999 or fewer permanent employees are to complete this form and maintain a copy for EEOC upon request.

Line I.a. Second Level Component.

Enter the name of the 2nd level reporting component that is directly under the department or agency headquarters. The information entered here should match the entry that was made on EEOC FORM 715-01 PART A, Line I.a.

Data Check →

A 2nd level component must file EEOC FORM 715-01 PART J with the EEOC in addition to filing with their headquarters, if the component's total number of permanent employees from Work Force Data Table I.a. will be 1,000 or greater.

All other subordinate components with 999 or fewer permanent employees are to complete this form, file it with the next higher reporting level and maintain a copy for EEOC upon request.

Line I.b. Third Level or lower.

Enter the name of the 3rd level or lower reporting component. The information entered here should match the entry that was made on EEOC FORM 715-01 PART A, Line I.b., or I.c.

← Data Check

All other subordinate components with 999 or fewer permanent employees are to complete this form, file it with the next higher reporting level and maintain a copy for EEOC upon request.

PART II

Employment Trend and Special Recruitment for Individuals With Targeted Disabilities

Total Work Force.

Beginning of Fiscal Year Column: Enter the total number of permanent employees from Workforce Data Table B1 section with previous FY totals. The percentage of employees with reportable disability and targeted disability is calculated by dividing the number in each group by the total workforce as shown in the example below.

Enter Actual Number at the beginning of FY	
	Number	%
Total Work Force	88,194	100.00%
Reportable Disability	5,575	6.32%
Targeted Disability	988	1.12%

End of Fiscal Year Column: Enter the total number of permanent employees from Workforce

Data Table B I section with current FY totals. The percentage of employees with reportable disability and targeted disability is calculated in the same manner.

Enter Actual Number at the end of FY	
	Number	%
Total Work Force	90,858	100.00%
Reportable Disability	6,628	7.29%
Targeted Disability	990	1.09%

Net Change Column: The purpose of calculating the “net change” is to assist agencies in determining whether their employees with disabilities, especially those with targeted disabilities, are experiencing growth or loss at rates that are similar to the change rate for the total agency.

Using the hypothetical numbers provided in the preceding examples for the beginning and end of FY columns, the net change is calculated by taking the difference between the number of employees from the beginning FY to the end of the FY and dividing that number by the number at the beginning.

In the example, the agency had a total of 88,194 employees at the beginning and 90,858 at the end of the FY, or a net change of 2,664. The rate of change for the total work force is 3.02% ($2,664 \div 88,194$). In this manner, compute the net change for Reportable Disabilities and Targeted Disabilities and compare the results with the net change for the total workforce.

Enter Actual Number at the ...	Net Change	
	Number	Rate of Change
Total Work Force	2,664	3.02%
Reportable Disability	1,053	18.89%
Targeted Disability	2	0.20%

The numbers in the example demonstrate a situation where the agency experienced growth. If the beginning and ending totals were opposite, the net change would be expressed as a negative (2,664). The rate of change would then be -2.93% ($-2,664 \div 90,858$).

Total Number of Applications Received from Persons with Targeted Disabilities

Enter the total number of applications received from individuals with targeted disabilities during the reporting period.

Total Number of Selections of Individuals with Targeted Disabilities

Enter the total number of selections of Individuals with targeted disabilities during the reporting period.

PART III Participation Rates in Agency Employment Programs

This section of the form is designed to provide agencies with an overall snapshot of the degree to which employees with reportable and targeted disabilities participate in the agency’s employment programs and how they compare to employees not identifying a disability or reporting no disability. All numbers are derived from, and are the same as those reported in, the Workforce Data Tables.

Employees with reportable or targeted disabilities participating in agency employment programs at participation rates that are comparable to the rates experienced by non-disabled employees in the work force is an indicator of a successful Section 501 program.

PART IV Identification and Elimination of Barriers

As instructed, agencies with 1,000 or more permanent employees that conduct a barrier analysis to address any barriers to increasing employment opportunities for employees and applicants with targeted disabilities should do so using **FORM 715-01 PART I**.

PART V Goals for Targeted Disabilities

Consistent with EEO MD-715, agencies with 1,000 or more employees are required to maintain a

special recruitment program and to establish specific goals for the employment and advancement of individuals with targeted disabilities.

Enter agency goals for the upcoming fiscal year for the recruitment, hiring, and advancement of individuals with targeted disabilities. For this purpose, targeted disabilities may be considered as a group. Agency goals should be set in such a manner as will effect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.

Agencies with 1,000 or more permanent employees are to use the remaining space provided to describe the strategies and activities that will be undertaken during the coming fiscal year to increase employment opportunities for employees and applicants with targeted disabilities.

Objectives and strategies described should focus on internal as well as external sources of candidates and include discussions of activities planned to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.